# DEVELOPMENT SECTIONS IN THE STRING QUINTETS OF MOZART

by

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Last but not least, I thank my parents, Chaya and Eli Baruch, who supported me both financially and spiritually during this long process of research and writing.

# Preface

In the study of sonata form, many more pages have been dedicated to the analysis of exposition sections than to that of development sections. Nowadays, the basic terminology of expositions (e.g., first theme, bridge, second theme, and their synonyms) is one known to almost every music student. This is not the case, however, with development sections. While this alone may project an analytical-ideological-educational premise—that is, that the exposition is the most significant large section in sonata form—it is plausible to assume that there is at least one other reason for which sonata form discourse has elaborated much less (at least in relation to expositions) on development sections: the great complexity and, as a consequence, the relative challenge to classify, label, and arrange them, especially when it comes to thematic organization. My fundamental assumption, however, is that there is a certain "order" to development sections, however loose, whimsical, or mysterious it may be.

The two (relatively) recent major, influential research works about sonata form—the one by William E. Caplin, and the other by James Hepokoski and Warren Darcy—deal in depth with development sections. They each hold the wolf by its ears, offering a system of thematic-rhetoric organization. Their works are, therefore, the theoretical basis for this dissertation. The methodology itself is inspired by Hepokoski and Darcy: each chapter will focus on one analytical aspect—thematic organization, harmony and texture. In the final chapter I shall examine a complete movement (not only development sections), so to demonstrate the concepts discussed in the former chapters and to study the relations between the development section and the other sections in sonata movements. In case existing theories could not be applied to the music under discussion, I will humbly offer my own ideas.

There are multiple reasons for which I chose the string quintets by Mozart to be the center of this dissertation. First—and this is a personal reason—I am very fond of these pieces, which, excluding K.515 and K.516, are rarely performed. Secondly, the written material about

this body of pieces is limited, certainly comparing to that of other pieces by Mozart, and so, it "deserves" to be looked into. Finally, I am much intrigued to explore why Mozart did not suffice in four string players. In other words, what was he looking to express with a string quintet, an ensemble that had not had any history of masterpieces before Mozart.

While this paper will focus on sonata-allegro and sonata-rondo movements in the string quintets group (a total of eleven movements), other pieces by Mozart will also be visited. Since this is a doctoral dissertation of a cello performance major, a portion of this work will naturally be dedicated to the cello part.

# Development Sections in the String Quintets of Mozart

This dissertation focuses on development sections in the first and last movements of the six string quintets by Mozart. All of these movements are either in sonata-allegro or sonata-rondo form (excluding the finale of K. 406, which is in variation form, and is therefore left out). The works of both William E. Caplin, and James Hepokoski and Warren Darcy are the main references for this dissertation. Each of the first three chapters is dedicated to a different aspect of the music—thematic/rhetoric organization, harmony, texture. The opening chapter presents a new concept for thematic choice: "Potential for Development." In the third chapter ("texture") one section is dedicated to the cello part. The fourth and concluding chapter features a detailed analysis of the finale of K.593, putting the concepts which had been previously discussed in the context of a complete movement, outlining the connections between the three large sections of sonata form movement. The chapter concludes with a discussion of Kant's concept of "the sublime," and how it relates to K.593.

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# Chapter One: Thematic/Rhetoric Organization

**Introduction**

The basis for this dissertation is the research works of both William Caplin and the work of James Hepokoski and Warren Darcy.[1] In this chapter I will look at the relevance of these two approaches to the process of thematic organization in the string quintets group. The movements under discussion are the outer movements, all of which are either in sonata-allegro or sonata-rondo form. The finale of K.406 is in variation form and is hence excluded from this discussion.

Formal function is the heart of William Caplin's theory. In other words, Caplin focuses on the manner in which the different musical units within a movement, from the smallest to the largest, relate to one another. Caplin presents three basic theme types: the *sentence* (comprised of presentation phrase, continuation phrase and cadential phrase; the last two functions may be fused together in the same phrase), the *period* (consisting of an antecedent phrase followed by a consequent one) the *small ternary* (A-B-A), and a set of "hybrids" which combine subparts of different theme types (e.g. antecedent + continuation). For the development section, Caplin suggests a division into three large sections: *precore*, *core* and *retransition*. The *precore* section, the opening section of the development, is a section of hybrid functionality. On one hand it is introductory and on the other hand it is transitional: introductory, because it appears before the core, the central dramatic section of the development; and transitonal, for harmonic reasons, as it bridges between the secondary key area and the new developmental key.[2] The *core*, the central S*turm und Drang* section is made a of "model"—a pseudo-sentential unit, which goes through a process of sequence (one, or several sequences)—followed by a fragmentation process and circle

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[1] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998).
James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006).
[2] Caplin, *Classical Form*, p. 147

of fifths motion, eventually leading to the retransition. The *retransition* is the closing, sentence-like passage of the development; its main function is to modulate back to the home key.

Hepokoski and Darcy's approach to thematic organization in sonata movements is based on their concept of "rotation." Rotation represents the thematic layout of each of the three large sections of sonata-allegro movements (exposition, development, and recapitulation). Their labeling system for the expositional rotation is as follows: primary theme (P), transition (TR) followed by a medial caesura (MC), secondary theme (S), closing theme (C) and optionally a retransition (RT). The Type-3 sonata (the "textbook" sonata) includes, according to Hepokoski and Darcy, three "full-rotations". As for the developmental rotation, their claim is that in order to project the effect of a full-rotation, not all themes need to be played but rather, any combination of pre-MC material followed by post-MC material suffices.[3] They also offer the concept of "half-rotation" in regards to the development section. Half-rotation is any appearance of expositional thematic materials in the order in which they had originally appeared in the exposition, regardless of their placement in relation to the MC (e.g. P+TR, S+C).[4] The effect, according to Hepokoski and Darcy, is that of repeating, or mirroring, or reproducing the same thematic layout in all three sections.

In regards to the quintets, I generally find Caplin's approach more relevant. In almost all eleven cases of the quintets it is clear that the development sections contain, as Caplin suggests, three units, each of which has a distinctive function and character, different from the two other units. I therefore adopt the division and labels used by Caplin—"Precore," "Core,", and "Retransition"—as they represent well, in my view, the function of each zone, and its relation to the other two. Even though Caplin himself does not use these labels in respect to sonata-rondos in the same way and/or with the same frequency that he uses them for sonata-allegro movements, I have decided to do so, as I believe that they are relevant, at least to some degree, to the former

[3] Hepokoski and Darcy, *Elements*, 206.
[4] Ibid., 217.

type as well.

Hepokoski and Darcy's view of the development section as rotational does not fit very well in the quintets group. It is quite difficult to find any "full rotations" in the whole quintet group, and even the single case of pre-MC material followed by post-MC material (K.515)– a full developmental rotation—does not follow the original, expositional rotation layout: following TR comes C, which is in accordance with the rotational principle, but then the music goes back to S material. Therefore, the effect of reproducing or mirroring the expositional thematic layout is, at best, incomplete. The understanding of "half-rotations" may only take place vis-à-vis "full (developmental) rotations," and those are lacking here. This is another reason for which I favored Caplin's terminology in reference to the general structure of the development.[5] Since the idea of rotation is so central in Hepokoski and Darcy's theory, I shall revisit it later in this chapter, to clarify my position in relation to it.

This chapter will discuss each of Caplin's sub-sections in turn. Since the concept of the core as model-sequence is perhaps the most central in Caplin's view, and since he himself starts his discussion of developments with the core, I shall do the same. Note, in addition, that this dissertation deals with both sonata and sonata-rondo movements (Hepokoski and Darcy's Type-3 and Type-4 Sonata respectively), which are two different forms. Therefore, the first part of this chapter will be divided between deeper, separate analysis of each sonata Type, followed by a more general discussion about thematic choice, which is applicable, however, to both forms.

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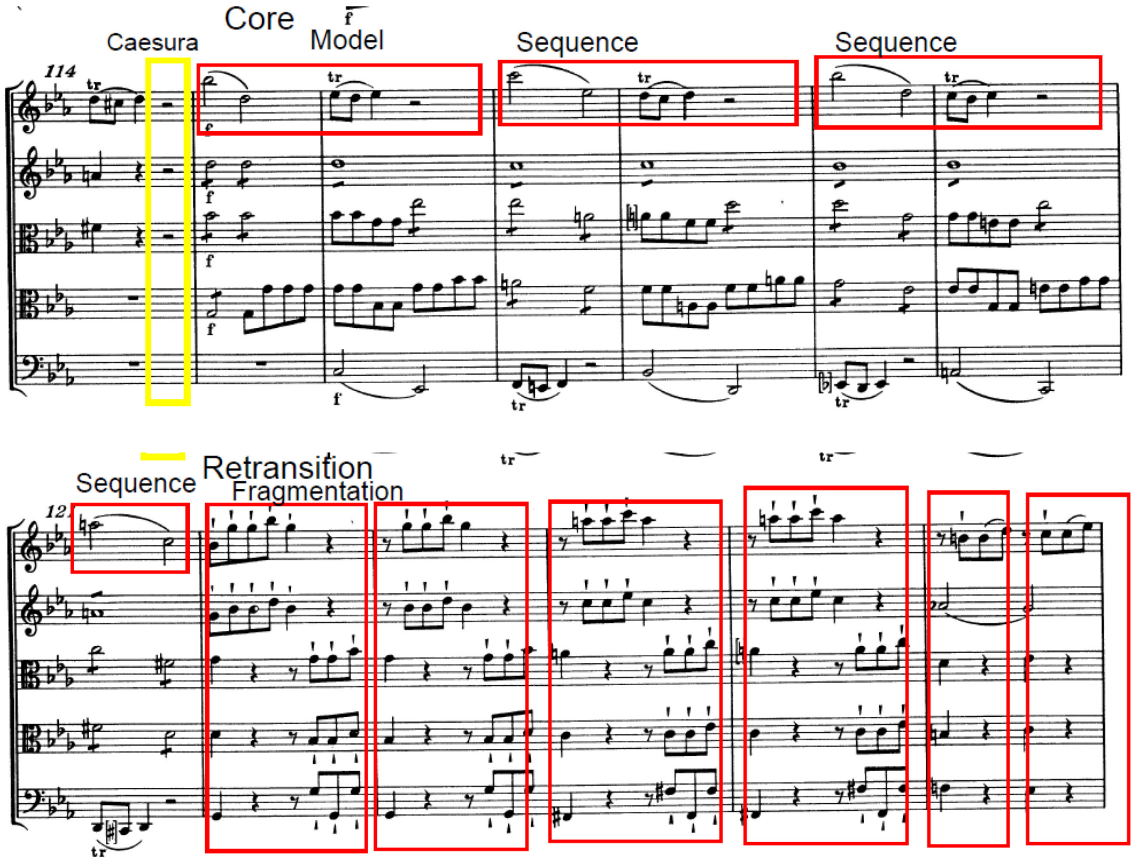
[5] Also, for the sake of clarity, even if "half-rotations" may be conceived independently from "full-rotations", still there would be only one or two cases, and even these are questionable as "half-rotations" as Hepokoski and Darcy describe them.

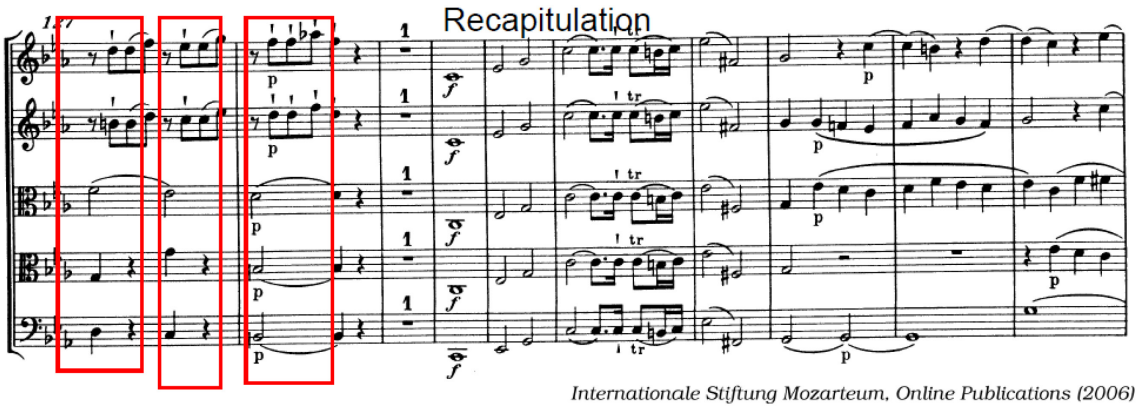
## Sonata-Allegro

**Core**

The reader will remember that, according to Caplin, the core is typically built according to a model-sequence scheme and modulates at a regular pace either stepwise or by the circle of fifths. The length and character of the model varies, naturally, according to the dimensions of the whole movement. In K.406, for instance, as illustrated in Ex. 1.1, the model is only two measures long, but it is sufficient to help project the function of a "core" not only because of the sequential process that it undergoes but also because of its surroundings: on one side, a caesura preceded by a clear pre-core which ends *piano*, and on the other side, fragmentation process and retransition.



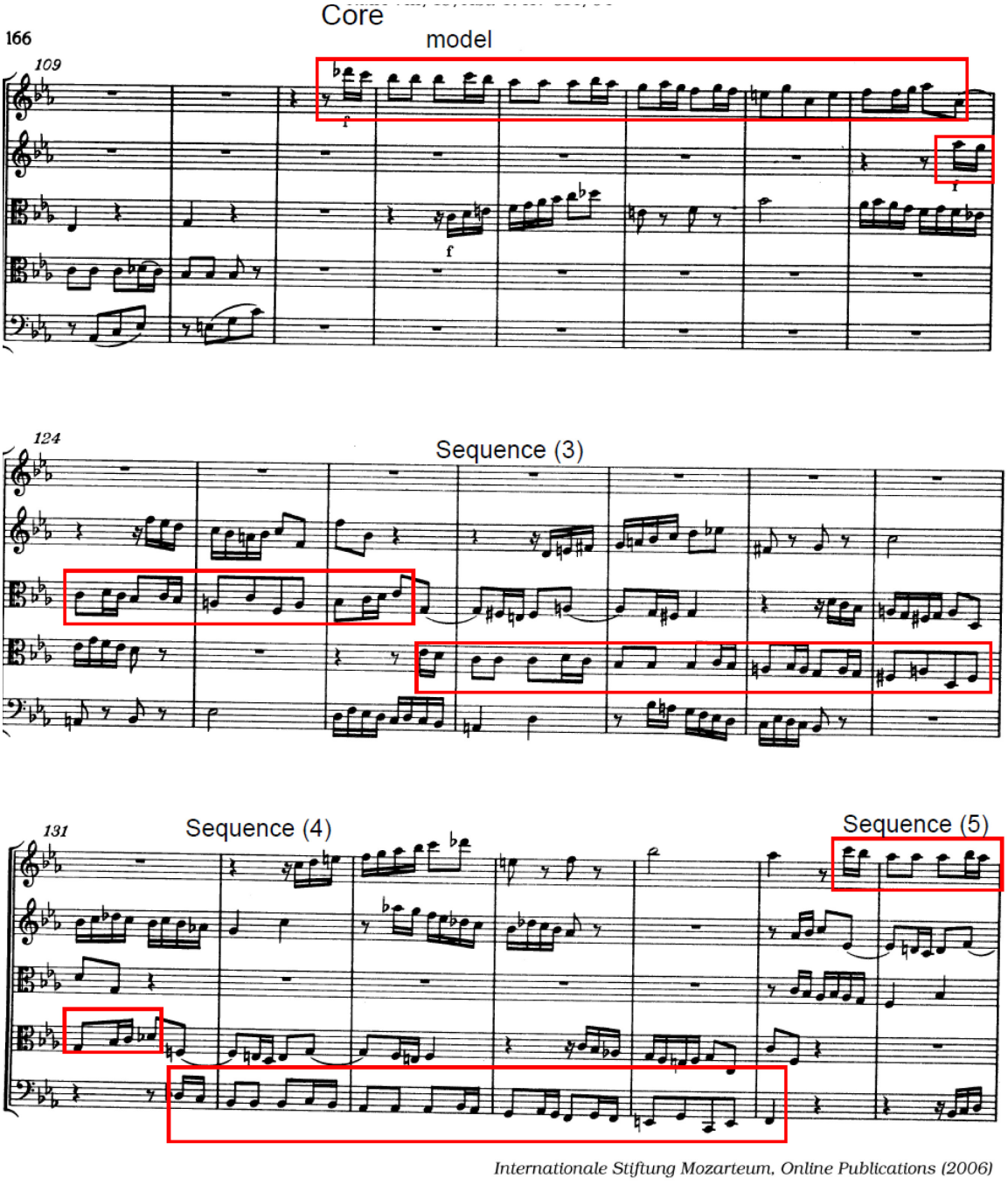

**Example 1.1 Mozart, Quintet K.406 in C minor, I, mm. 114–136**



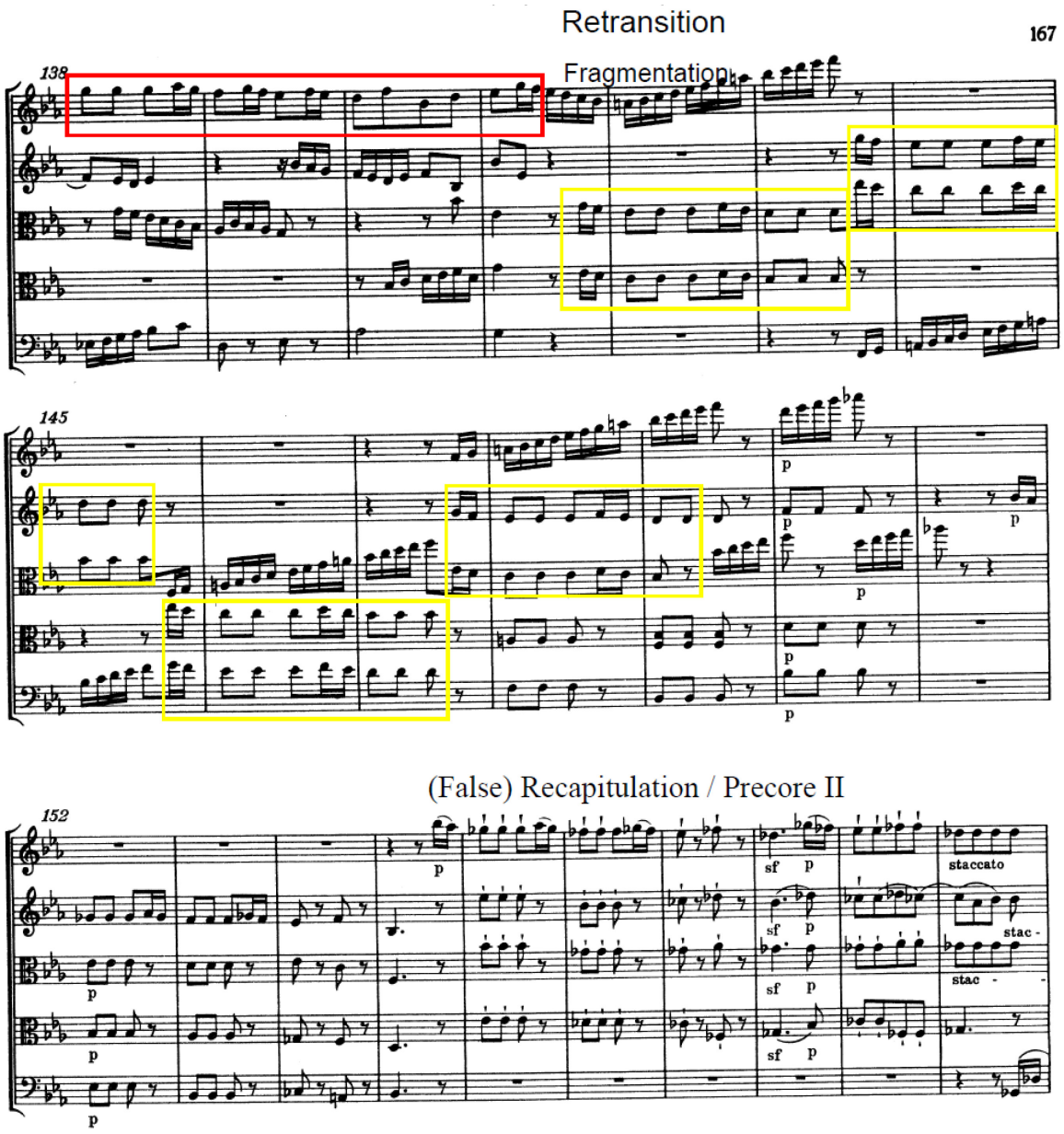

**Example 1.1 Mozart, Quintet K.406 in C minor, I, mm. 114–136 (continued)**

The model-sequence scheme occupies all cores of every sonata-form movement under discussion, regardless of it being first or last in the piece. Only three out of the eleven movements under consideration—the finales of K.515, K.516 and K.614—are sonata-rondos, and each of them has a slightly different form. Excluding K.516, which has the strongest "rondo" attributes, these sonata-rondos also include a model-sequence type core. In K.515 it is a model-sequence of the most conventional type. In K.614 the central section of the development is a fugue (see Example 1.2). Strictly by definition, an exposition of a fugue can easily be regarded as a type of the model-sequence scheme: the theme of a fugue is "sufficiently large to project a sense of structural beginning, as well as to permit extensive fragmentation."[6] As for the notion that, "following its initial statement, the model is sequenced one or more times," these sequences can be understood as the fugal responses.[7]

[6] Caplin, *Classical Form*, 142.
[7] Ibid., 144.




**Example 1.2 Mozart, Quintet K.614 in E-flat, IV, mm. 109–161**




**Example 1.2 Mozart, Quintet K.614 in E-flat, IV, mm. 109–161(continued)**

Proportion is an important factor in the organization of development sections in the quintets. In the event that one of the main sections (precore, core, retransition, standing-on-the-dominant) is either omitted, or significantly shortened, it usually results in the addition of another section which fills up the otherwise missing space. In the finale of K.174, for instance, the development has two parts: mm. 95–124, and mm. 125–162. The first part of the development

starts with what we might call a "pseudo core" section (mm. 95–110) followed by a retransition section (mm. 111–124) that leads back to a tonic appearance of P. This reappearance can be read as a false recapitulation, a concept for which Hepokoski and Darcy's discussion is useful. They devote a number of pages to Haydn's tonic, P-based false recapitulations. As a general principle, they adopt Peter Hoyt's idea that most appearances of tonic P-based material in the development are not necessarily an implication of a surprising, false recapitulation.[8] They suggest seven parameters for defining whether a "genuine" false recapitulation effect occurs. A false recapitulation is "genuine" if (1) the tonic P appears after the first third of the development; (2) the first phrase of the development articulates any harmony but the dominant; (3) there is a fermata or a brief passage of linear fill between a V/vi (or V/iii) and the following tonic P; (4) the tonic P is "properly" prepared ($V_A$/ I) , and preceded by a dominant lock, a break, or passage fill, as if a "true" recapitulation is about to start, but the whole process happens "too early" into the development; (5) the harmony before the tonic P is not V or V/vi; (6) there are themes other than P played before the tonic P return; and (7) the return of P is identical or almost identical to its original version.[9] The false recap of m. 125 exemplifies most of these parameters: it is considerably pushed after the first phrase; the tonic is set by a proper dominant; the harmonic motion prior to the P-tonic is very complex; and the P-reference is very literal. Also, the false recap happens more than halfway through the development, so its intentional function—as a surprise—is very clear. Getting back to the matter of proportion, the insertion of the second section, that is the false recapitulation of mm. 125–162, comes as a compensation for the missing pre-core zone. (A somewhat similar procedure happens in K.614. It will be dealt with later, under the topic of development sections in sonata-rondos.)

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[8] Peter A. Hoyt, "Haydn's 'False Recapitulations,' Late Eighteenth-Century Theory, and Modern Paradigms of Sonata Form," paper delivered at Yale University, March 30, 2001; quoted in Hepokoski and Darcy, *Elements*, 208. Hepokoski and Darcy's main discussion of the false recapitulation can be found in *Elements*, 221–228.

[9] See Hepokoski and Darcy, *Elements*, 224–225.

**Retransition**

In regards to the exact starting point of the last section, the retransition—and as a consequence, the ending point of the core—I am in some disagreement with Caplin. Caplin states that:

> "By the time the standing on the dominant begins, the home key has already been achieved, as confirmed by the half cadence (or dominant arrival). If the term retransition is to be used with most development sections, it should be applied before the standing on the dominant, presumably at the moment when the modulation to the home key takes place."[10]

In other words, if the beginning of the retransition were taken to be where the structural $V_A$ pedal point (in Hepokoski and Darcy's terms) begins, then, in fact, the retransition should have already started earlier.[11] Where? In my opinion, in the case of a model-sequence type core, the fragmentation process which follows the last sequence marks the beginning of the retransition. This process in some cases is a sequential process as well, in which the harmonic rhythm is naturally faster than it is in the core; "naturally," because the fragmented units are shorter than the long units of the core. The "standing-on-the-dominant" thereafter (if there is one) I view as a sub-section of the retransition. It is not functionally necessary, and this is why it does not always exist in every development. When it does occur it may be for two reasons: (1) the reactivation of V as dominant has not yet happened, and will happen in the course of the standing-on-the-dominant section, or (2) the arrival on $V_A$ happened very quickly and further confirmation is necessary. With respect to Caplin's last point in the passage quoted above—the idea that the modulation must have taken place *before* the standing-on-the-dominant—in my

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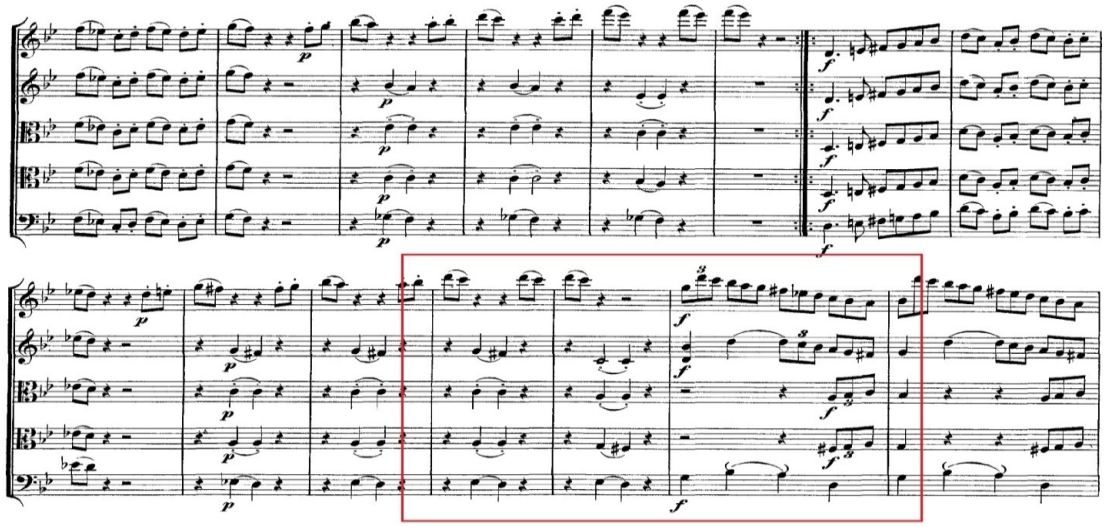
[10] Caplin, *Classical Form*, 157.
[11] "$V_A$" refers to an "active dominant," understood as a chord within the orbit of the home tonic, rather than as a key in its own right, as it had been within S-space (Hepokoski and Darcy's term for the dominant as key is "$V_T$", or tonicized dominant).

view, the standing on the dominant itself does not create the retransition alone, but rather it does so in combination with the sequential (fragmentation) process that precedes it.

**Pre-Core**

In the previous sections I have described the reasons for which I favor Caplin's general division of the development over Hepokoski and Darcy's. However, I still find some of the latter's general ideas to be very useful in this discussion. Caesuras, for instance, as well as "caesura-fill" effects appear quite frequently in developments. In fact, in eight out of the eleven movements under discussion caesuras occur between the end of the precore and the beginning of the core.[12] In most cases such caesuras come at the end of a *piano* pre-core and anticipate a "*Sturm und Drang,*" *forte* core. The effect of such caesuras can be that of "calm before the storm," as, for instance, in the extract below, from K.174 (see Example 1.3).

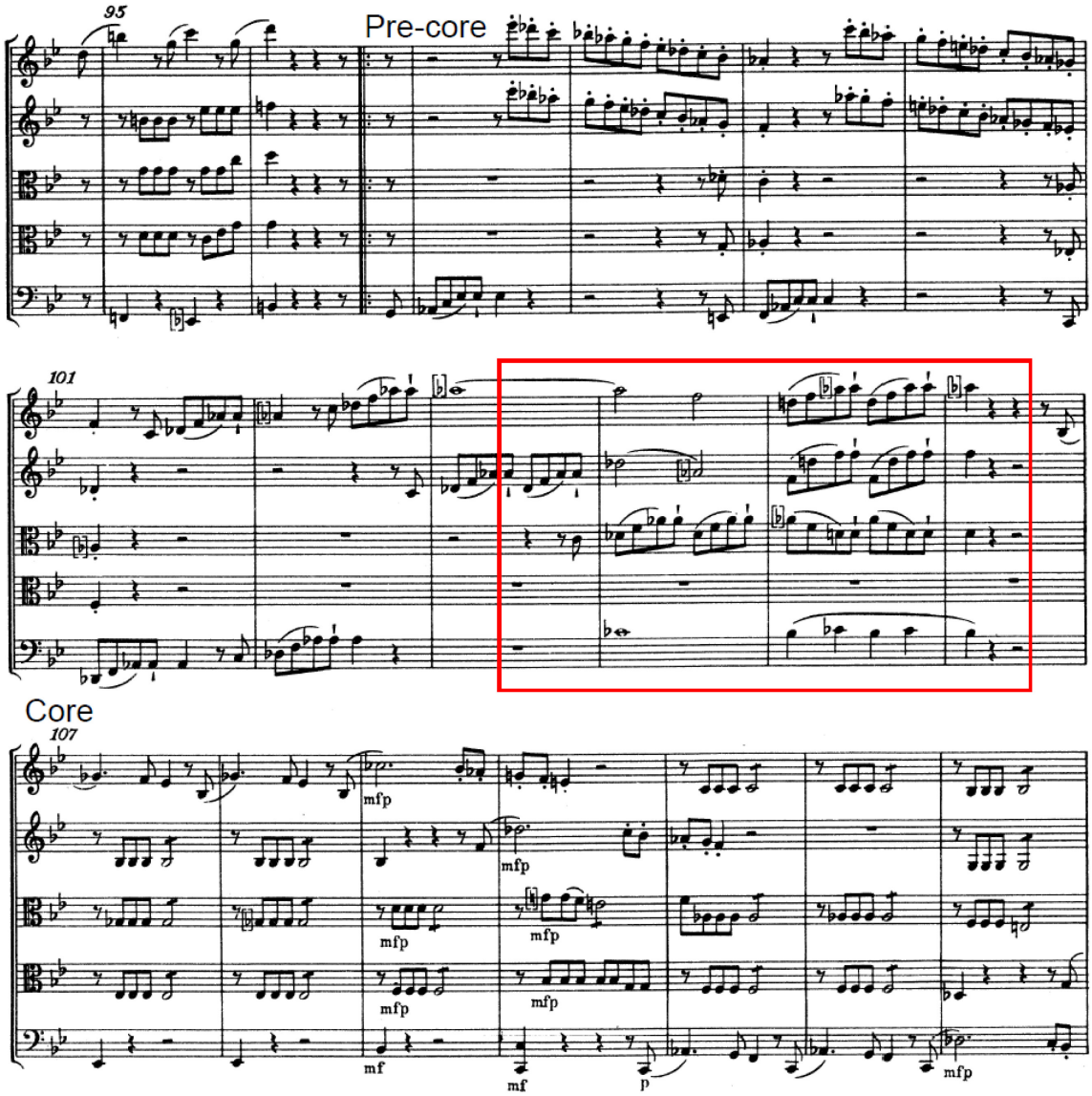


**Example 1.3 Mozart, Quintet in B-flat, K.174, I, mm. 81–95**

Sometimes, however, the effect is the opposite: that of a running towards an edge of a cliff, as in K.516 where the caesura is preceded by a crescendo and the core starts *subito piano*

[12] The term "caesura" is, of course, much older than Hepokoski and Darcy's research. Their use of the term "medial caesura," however, as a structural point in sonata process is the reason for which I refer to them. The medial caesura is a gap (a type of "punctuation mark") between the end of the TR section and the beginning of S. Its most significant feature —other than the gap itself —is its articulation of a half cadence, most often in the secondary key (the key to follow it, in S) but sometimes also in the home key.

(see Example 1.4):

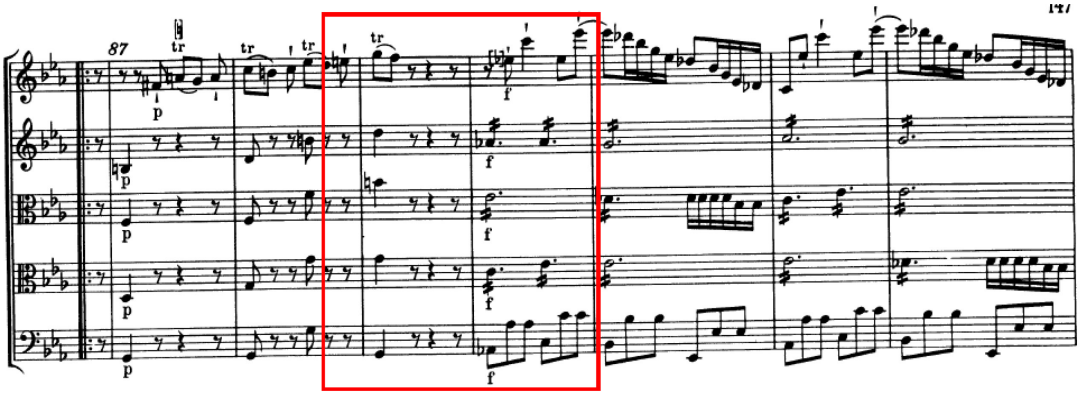



**Example 1.4 Mozart, Quintet in G minor, K.516, I, mm. 95–113**

These two affectively opposing examples have one major factor in common: the dramatic pause in the seam between two contrasting dynamics at the local peak of the processes (the lowest/highest point). Also, in both cases the caesura effect is supported by an underlying half cadence in the key of the following core section. This is the case in the great majority of the instances. Whenever such a caesura leads to the "wrong key," it creates a moment of wit or

surprise, and should be regarded as a deviation from the norm. Harmonically, it is a "deceptive motion." In the first movement of K.614, the very short precore ends on a $V^7$/C minor, but unexpectedly leads to A-flat major, VI/ C minor (see Example 1.5).

Generally speaking, the precore sections in the quintets tend to be very concise. Sometimes, even three measures suffice (as in the final of K.593, or the first movement of K614). The sentential structure is very "loose", and in most cases, barely perceptible. One instance, from K.515, stands out as having a very long precore. Even though its structure is very loose and asymmetrical, it has a sentential structure of some sort (compound modulating presentation + continuation/ cadential). In the context of the general magnitude of the piece and the first movement, however, it makes perfect sense. A deeper discussion of proportions will continue later in this chapter.




**Example 1.5 Mozart, Quintet K.614 in E-flat, I, mm. 87–93**

## Sonata-Rondo

**Rotations**

It is worth spending some time on the concept of rotation as it applies to the sonata-rondo, since, as we shall see, the conjunction is not without friction. In *Elements of Sonata Theory*, Hepokoski and Darcy present their thesis about sonata-rondos, suggesting that different rondo forms, including the early *Rondeau,* are arranged according to the principle of rotation. Since their view of sonata-rondo (a "Type 4" sonata) is that of a hybrid form, their labeling system also blends descriptions, using a superscript to show how the rondo is inflected by the other sonata types. Thus, Type $4^3$ is a combination of Type 4 (rondo) with some elements of Type 3 (the standard "textbook" sonata-allegro). Type $4^1$ is a combination of Type 4 with elements of Type 1 (the 'bi-rotational" sonata, which is, simply put, a standard sonata-allegro without a development section). Strictly speaking Hepokoski and Darcy's use of the term rotation can be considered quite problematic in this context (for one thing, "full developmental rotation" is defined as the adjacency of pre-MC material with post-MC material, whereas, according to Hepokoski and Darcy, neither TRs nor MCs appear in the Rondeau).[13] Nonetheless, I can employ it loosely here as referring to a layout of themes according to their original order of appearance in the piece (earlier material-A first, and later material-C second) to form an AC structure in the development. According to this logic the Type $4^3$ as well as Type $4^1$ contain two to three rotations (depending on each case). Below is the representation of the Type $4^3$ according to Hepokoski and Darcy:[14]

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[13] Hepokoski and Darcy, *Elements*, 389 and 391

[14] Letter A represents the refrain (or "$P^{rf}$" in Hepokoski and Darcy's system) and the other letters represent episodes/couplets.

**Table 1.1 Hepokoski and Darcy Type $4^3$ Sonata-Rondo**

| | | |
|---|---|---|
| Rotation 1 | AB | Exposition |
| Rotation 2 | AC | Development |
| Rotation 3 | AB' | Recapitulation |
| Rotation 4 | A | Coda |

Even if one accepts the rotational approach of Hepokoski and Darcy, it is quite difficult to accept A (the second refrain) as the beginning of the development, in the same sense that the term has for sonata-allegro (or Type 3 sonata, for that matter). If development sections should express restlessness, instability, transition, *Sturm und Drang*, etc., then a tonic reappearance of a catchy refrain (A) will surely not create this effect. For what it is worth, my own listening experience when the refrain returns, is that of homecoming, not of anything associated with the onset of a development section. From a sonata perspective, the tonic repeat of P (A, $P^{rf}$ or refrain #2) may actually be associated with a possible expositional repeat sign. In my view, the parallel between AB-AC as two rotations happens only on paper. The listener associates the second refrain with the music that had been played before the development, and the new developmental material (C) as the starting point of a new section. While listening to a sonata-rondo movement, then, the perceived starting point of the development is actually C, not the preceding $P^{rf}$.[15]

Neither "full rotations" nor "half rotations" happen from the C-section on until the end of the development and the return of $P^{rf}$. This is my approach to all the different forms of sonata-rondos in the quintets group. To conclude, then, in what follows I adopt the thematic layout and the definitions of Type $4^3$ and Type $4^1$, but exclude the element of rotation. Where does the recurring A ($P^{rf}$) belong, then? Unfortunately, there is no easy answer to this question, since it

[15] It is fair to admit that if the score and the music were the same phenomenon, Hepokoski and Darcy would have had a clearer case for invoking "rotation". In my view however, this is one of those instances in which interpreting merely according to the score does not represent the actual listening experience.

cannot be described in any sonata function terminology, but only in rondo terminology. It belongs only with itself: neither with the preceding exposition (except if perceived upon first listening as an expositional repeat) nor with the following development. It is also the single element which defines the form as a rondo type. Without it, the form could be understood as either a Type 3 or Type 1 sonata, with a P-based coda. My adaptation of Hepokoski and Darcy's Type $4^3$ sonata-rondo is best described as follows:

**Table 1.2 Alternative view of Type $4^3$ Sonata-Rondo**

| | |
|---|---|
| AB | Exposition |
| A | Refrain |
| C | Development |
| AB' | Recapitulation |
| A | Refrain/Coda |

**K.515, Finale**

In K.515 the overall form matches a Type $4^1$ sonata-rondo. Following a standard sonata exposition $P^{rf}$ returns in the tonic (m. 213) and is played exactly the way that it had first appeared. Then, the TR section starts (m. 269) with no changes until m. 281, where the chromatic bass line initiates the shift into the development. What follows (mm. 285–296) is a conventional sonata pre-core, ending with crescendo towards a dominant harmony of the core (C, V/F major), and a caesura (the role of caesuras as an organizing element in developments was discussed earlier). In m. 297 the core starts with a model and two sequences ascending stepwise. After the second sequence the retransition takes place, with fragmentation and circle-of-fifths motion, in the opposite direction to the one that happened in the core. In m. 333 an interesting thing happens: the retransition has failed to arrive back at the tonic. At this point the music goes back to the point where it left when the development started: TR. The continuation of TR (transposed, naturally, a fifth down, to avoid modulating away from the tonic) now serves both its original transitional

purpose—to lead to S—and also the function of retransition. In other words, the standing-on-the-dominant section (mm. 341–351) serves as a final gesture of both the TR and the retransition. For those who accept the rotational organization of sonata-rondos, the structure of this movement may be described as Type $4^{1\text{-exp}}$, which is the expanded version of the Type $4^{1}$. If one does not find the rotational concept applicable here, the above structure may be viewed as the "six-part variant" of the seven-part rondo, which occurs also in many of Mozart's concerto finales.[16]

The table below illustrates the overall structure of the movement. Compare the far right column to Table 1.2: The major differences between these two types of Sonata-Rondo's are the starting and ending points of the development, and the number of appearances of $P^{rf}$. In the former the development is framed by $P^{rf}$; in the latter it is enveloped within the TR section, and thus, $P^{rf}$ appears one time less than in Type $4^{3}$.

**Table 1.3 Finale of K.515 as Type $4^{1}$ Sonata-Rondo**

| Measure Numbers | Sonata-Allegro Terms | Rondo Terms | Sonata-Rondo Terms |
|---|---|---|---|
| 1–57 | $P^{rf}$ (P) | A | Exposition |
| 58–102 | TR | | |
| 103–184 | S | B | |
| 185–211 | C | | |
| 212–268 | $P^{rf}$ | A | Refrain + TR |
| 269–296 | TR (incomplete) | | |
| 299–320 | Core: model+2 sequences | C | Development |
| 321–332 | Retransition: fragmentation | | |
| 333–357 | TR (incomplete) | (A) | Recapitulation (starting from TR) |
| 358–466 | S+C | B | |
| 467–539 | Coda | A | Refrain/ Coda |

[16] Hepokoski and Darcy, *Elements*, 419–421.

**K.516, Finale: A "Coreless" Development (?)**

In the finale of K.516, following a minor-mode introduction, a major-mode sonata exposition starts, which ends with a shortened version of the $P^{rf}$. As in K.515, at the end of the development $P^{rf}$ is also preceded directly by TR material. This case is however fundamentally different from that of K.515. In the exposition of K.516—unlike that of K.515—the transition section contained no standing-on-the-dominant nor medial caesura, so the corresponding transition process into the recapitulation is also different. Indeed, generally speaking, mapping the form of K.516 finale is not an easy task. On the one hand, it has some strong sonata characteristics: (1) an exposition that has P-TR-S-C structure, with modulation to the dominant; (2) a general three-part form, of which the middle area starts off-tonic, leading back to the tonic at the end; and (3) a recapitulation of (some of) the exposition materials in the tonic key + coda. On the other hand, there are very strong rondo characteristics: (1) P is a small-ternary, catchy tune; (2) following C, P is stated again, like a refrain; (3) following the second refrain and the transition, a new theme starts in m. 138 which is arranged like a closed thematic unit (a couplet?) that has repeat signs; and (4) there is no real developmental "core".

The last point—the lack of a true "core"—requires some explanation: not only is there no core of the "model-sequence" type, but the development also lacks a restless, "*Sturm und Drang*" section. Harmonically, the development is grounded in C major, and the tonal points furthest from the home key of G major are only one accidental away (C major and A minor). Ultimately, the factors that define this movement as a Type $4^1$ sonata-rondo, and not a simple rondo, are the tonic-dominant relations between the P and S areas in the exposition and the recapitulation of these materials in the same (tonic) key. Nonetheless, the lack of a "real" development makes it somewhat difficult to conceive this movement as a sonata movement. It is not a pure Type 1 and not a pure rondo, so the "blended" Type $4^1$ scheme is an appropriate representation of this movement.

**K.614 Finale – The Double Core**

The final rondo-cum-sonata in the quintets, K.614, whose fugal core has been discussed above, is a conventional type $4^3$ sonata-rondo, with a very clear tripartite sonata structure and equally clear rondo traits. Example 1.2 above does not contain the complete development section. Actually, there is a double core. Following the first retransition at the end of the fugue (mm. 142–151) the music pauses on a structural $V^7$ caesura. The ensuing material is a minor version of the opening of $P^{rf}$. This leads to another section of liquidation and fragmentation of $P^{rf}$, with the liquidated motif going through the circle of fifths, shifting in a dialogue between the second viola and the cello. From a tonal point of view, this additional section after the $V^7$ caesura is not necessary. It starts and ends at exactly the same harmony and tonal center. It is natural to assume that due to the proportions between the large core (mm. 111–141) and the relatively short retransition following (mm. 142–151) further reactivation of the structural dominant was required—hence, the additional section.

## Thematic choice

**Sonata-Allegro Movements**

The term "choice" has become more and more prominent in contemporary academic discourse.[17] Before I proceed with my discussion, I have to make a small disclaimer: the term "thematic choice" (or "harmonic choice," and so on) bears an assumption which may provoke some questions, regarding the creative compositional process. Is there a "database" of themes in the exposition out of which the composer actually "chooses" what to use for the development section? Does the master composer, upon completing an exposition section, scan the score of the exposition, wondering: "should I develop this theme or that one"? It is unlikely that such a

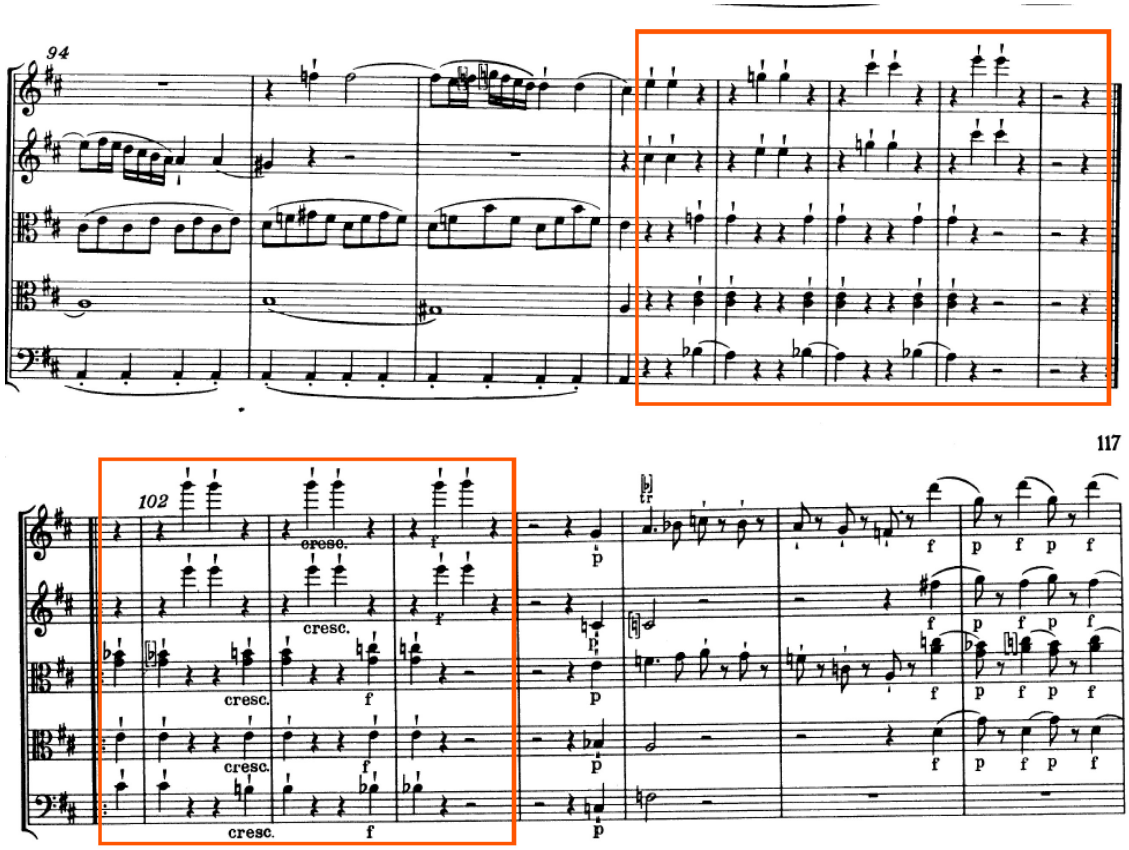
[17] Hepokoski and Darcy's *Elements*, is one example. Another important example is Leonard B. Meyer, *Style and Music: Theory, History and Ideology* (Philadelphia: University of Pennsylvania Press, 1989). See in particular Chapter 5, "Choice and Replication."

conscious decision-making process takes place. If any such self-internal dilemma occurs, then surely it is unconscious. Personally, I think that the process is much more deterministic. Without getting too deep into philosophical questions, I will simply state that when I use the term "choice" here, I don't necessarily mean free, conscious, rational choice, but rather the very making or doing of one optional action and not the other (or an infinite number of other options).

If thematic choice in the development is not random, then perhaps something about the nature of the chosen materials as they have been presented in the exposition defines, or at least affects, their choice for the manner with which they are developed. My assumption is that if the general atmosphere of developments is one of instability, then the materials which are the *least* stable at the exposition will naturally flourish in the development. The starting point of such an approach, however, is that of the "database"—an approach which is retrospective and not chronological (its logic works backwards in time, as if saying: "the development is unstable, let us check what have the materials done before"), one which does not really go hand by hand with the listening experience. I prefer approaching the subject from another angle: if a given thematic material has shown a potential to modulate already in the exposition, it is likely that this potential will be fulfilled in the development. The sections which naturally modulate in the exposition are TR's and expositional retransitions (i.e., the connecting passages which appear at the end of the exposition, to be distinguished from retransitions at the end of the development), which are placed at the end of the closing section (C) and which lead back from the subordinate key to the repeat of the opening primary key (or into the development, if there is no double-bar). Naturally, because sonata-rondos and sonata-allegros are not the same, we find slightly different formal maneuvers when comparing first movements and last movements. This also affects the situation with respect to thematic choice. Let us start with first movements.

Four out of six first-movement developments open with the retransition material that had just ended C. It is then transposed, thus starting the modulatory process of the development.

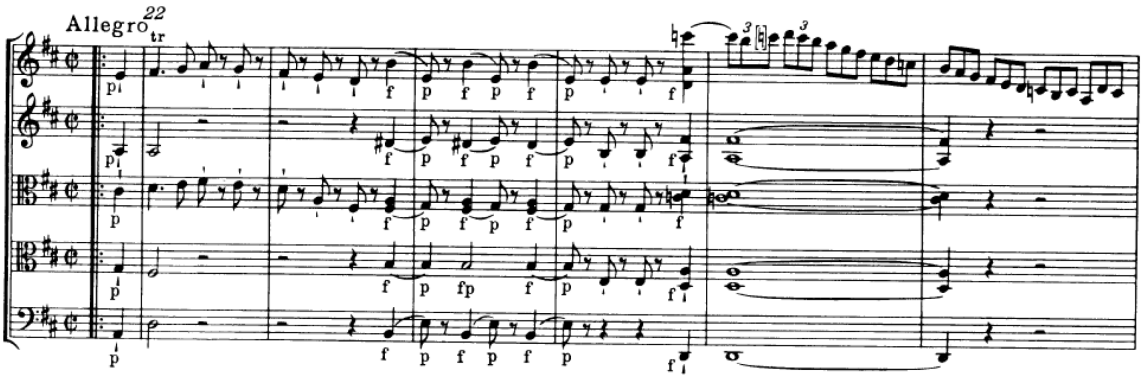
Example 1.6 shows the end of the exposition and the beginning of the development of the first movement of K.593.




**Example 1.6 Mozart, Quintet K.593 in D, I, mm. 94–108**

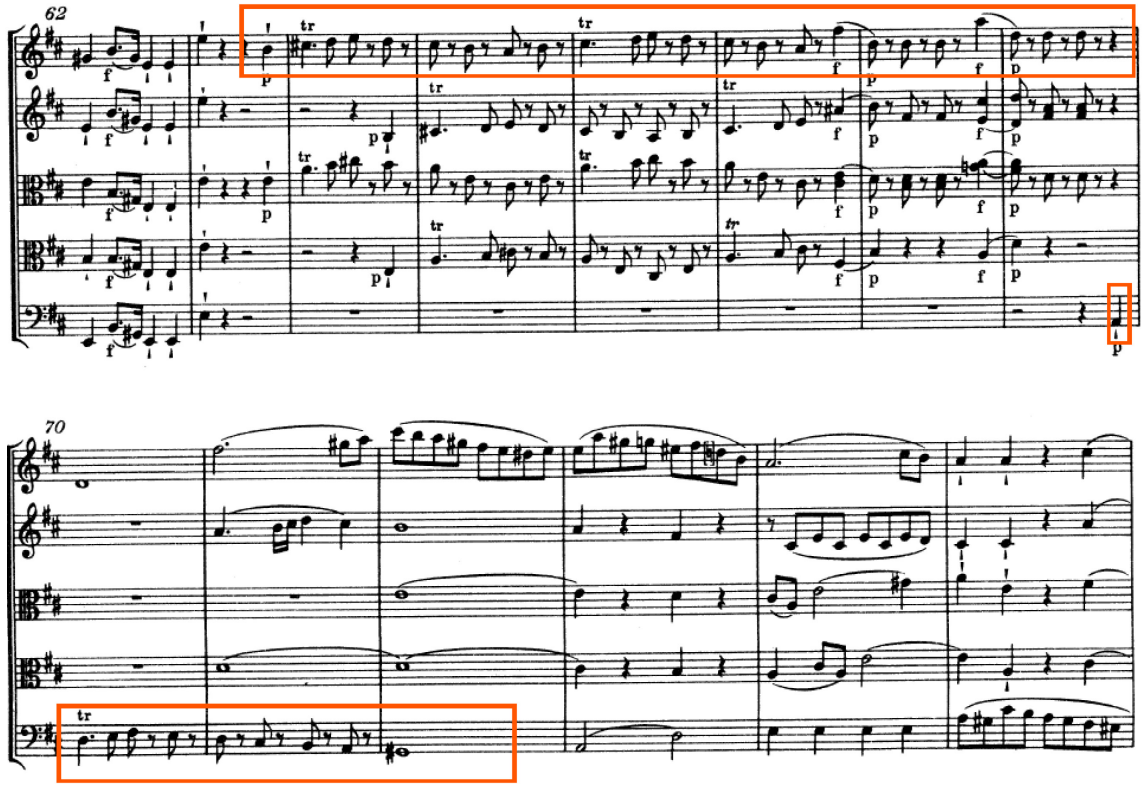
In the four measures before the double-bar the music confirms the subordinate key of A major. In the four measures after the double-bar, A will be reactivated as a dominant—in this case, as V of D minor. The same material transposed and slightly rearranged starts the pre-core and initiates the harmonic process of the development. The material that follows, which occupies the whole pre-core, is the P material. At first, one may wonder how P shows any modulatory tendency: it does not contain any sequences nor it does modulate throughout. However, material which appears in two different keys within the exposition alone, needs no more proof of its innate modulatory potential. Example 1.7 is taken from the beginning of the exposition, showing the P

material in D major:



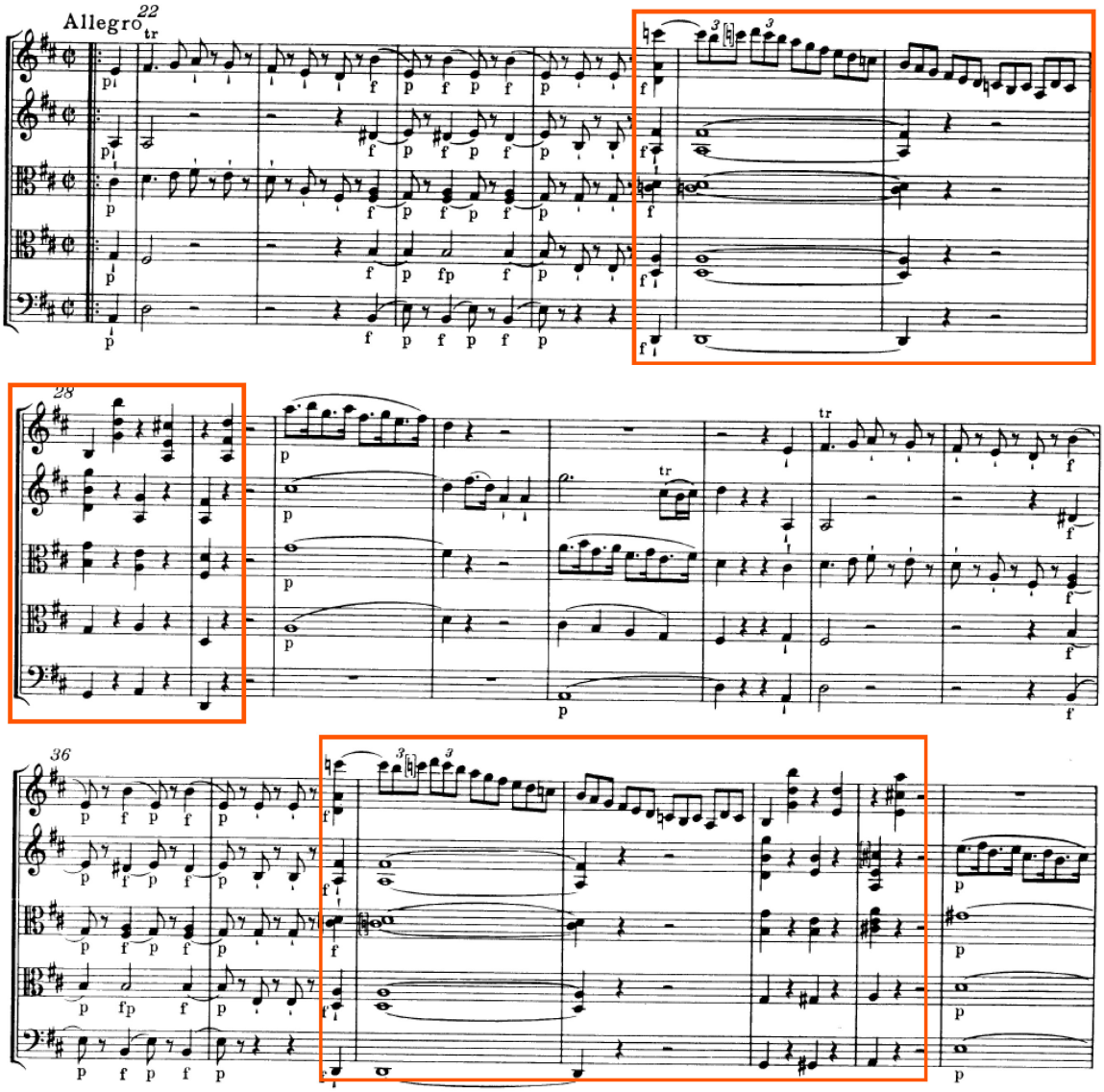

**Example 1.7 Mozart, Quintet K.593 in D, I, mm. 22–27**

At the beginning of S it appears in A major, at first canonically occupying the violins and violas, and then in the cello (Example 1.8):




**Example 1.8 Mozart, Quintet K.593 in D, I, mm. 62–75**

Resuming now our discussion of K.593's development section, we can observe that its core is based on the closing phrase of P. In the exposition, this melodic unit contains a chromatic pitch (C natural), highlighting a secondary dominant harmony ($V^7$/IV). This material is heard twice in P (mm. 25-29 and mm. 37-41); and initiates the TR section. There is no doubt, therefore, that it tends to modulate (see Example 1.9).




**Example 1.9 Mozart, Quintet K.593 in D, I, mm. 22–42**

The development section in the first movement of K.593 contains no other thematic materials than the ones described above. Something similar occurs also in K.516, and K.614; in

both cases the only thematic material derived directly from the exposition is the RT (retransition) material from the end of the codetta. In favor of Hepokoski and Darcy's rotational approach, one may accurately claim that in both K.516 and K.614 the retransition material is based on P. While this is true on paper, in both cases the P-based motifs are liquidated (shortened) to the extent that they almost lose their connection to P. Moreover, their appearance in the beginning of the development by no means stands for (or can substitute for) the original P, and so does not project any effect of rotation.

The core of these developments is based on new material. It is interesting to notice that the other materials in the exposition which are not often chosen for the development—S motives and pre-retransition C motives—show no modulatory tendency, but actually the opposite, a cadential character, confirmed by either a tonic pedal point (C) or what William Caplin terms an "expanded cadential progression."[18]

In the quintets, it is not always the case that a whole development section, from beginning to end, is based on material of transitional nature. But in general, the development sections do *begin* with material derived from earlier transitional/modulatory ideas. The only case which may be somewhat tricky in this regard is the opening of the development of K.515: at first sight it may be thought to begin with P material. This conception may be the result of a visual deception: in fact, by the point the development starts, the P material is already coded as TR material. The diminished harmony of the development version is just the next step of the natural developmental potential that the material had shown, from its P version on, to its TR version.

Generally speaking, one may regard the whole development section as a region in which the modulatory, transitory, unstable tendencies which had been presented in a tempered manner in the exposition are heightened, exaggerated and brought to an extreme, then "solved," showing

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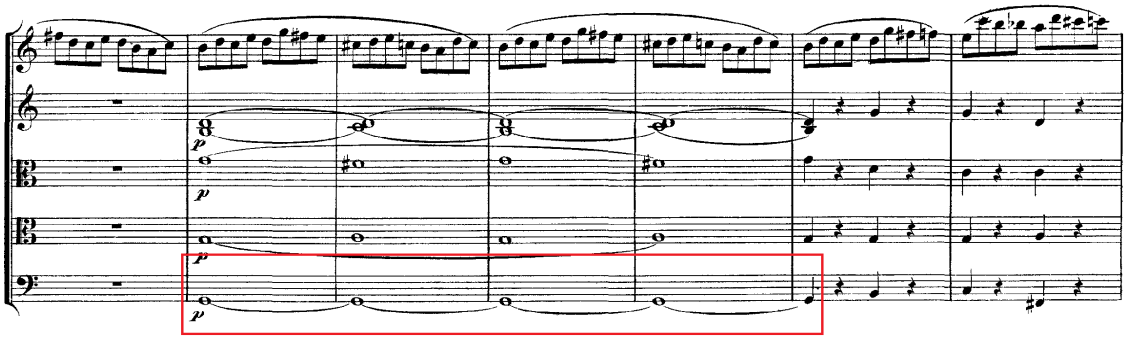
[18] Caplin, *Classical Form,* 254.

the path for the eventual, future solution of the recapitulation (the "structure of accomplishment," to use Hepokoski and Darcy's formulation).[19] The implication of "accomplishment" or fulfillment comes from the development's harmonic motion back to the initial tonic, as if saying that the great expositional conflict of tonic and dominant can be solved as well.

**Thematic borrowing**

Another interesting factor of thematic choice involves the borrowing of expositional material, almost as it had first appeared, in its original tonality. In some cases the function changes and in other points it is identical. In K.515, for instance, Mozart borrows S material for the retransition, with mode-change from major to minor. This clever trick is done for an obvious reason: there was a structural need for a standing-on-the dominant section, to prepare the return of the home key. Two materials from the exposition are supported by a G pedal point: S and C.[20] Since C has already been exhausted in the core, S becomes the natural choice. Example 1.10a shows the first appearance of S in the exposition, on a local tonic harmony:



**Example 1.10a Mozart, Quintet K.515 in C, I, mm. 85–91**

In Example 1.10b, we see the retransition version in the development, as a home key dominant:

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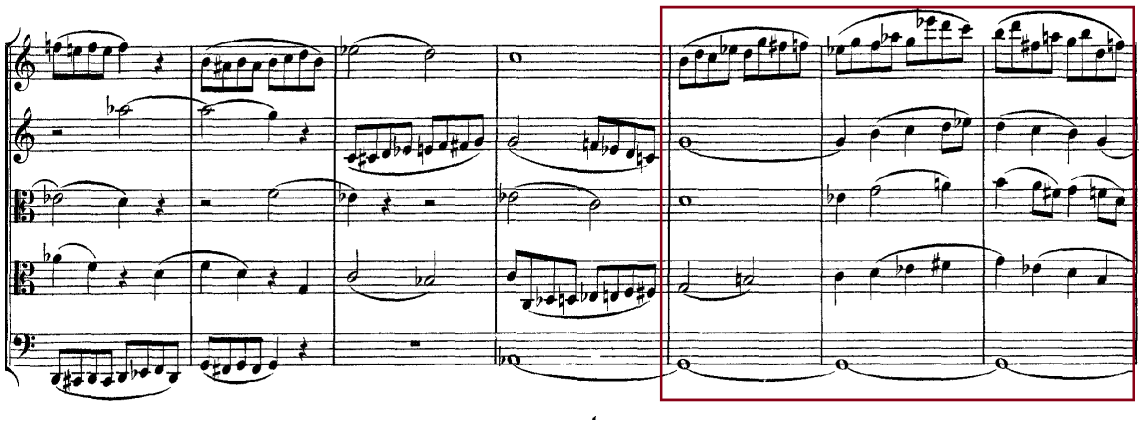
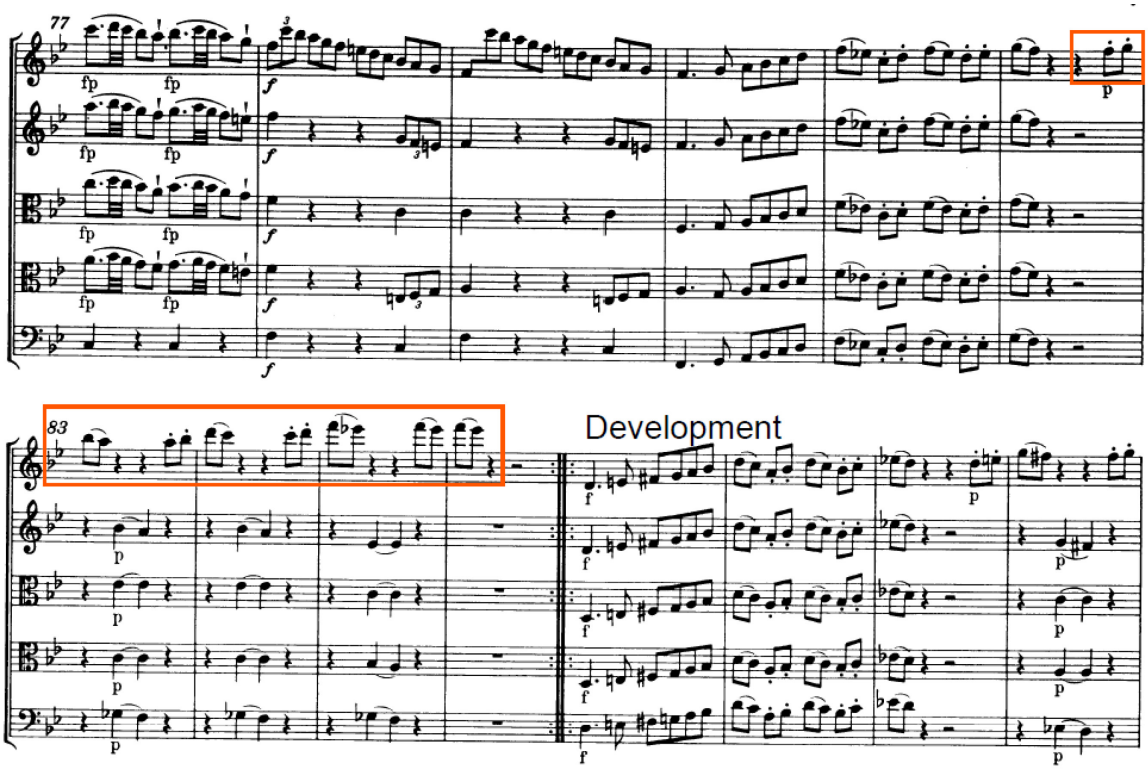
[19] Hepokoski and Darcy, *Elements*, 19.

[20] This may provoke an interesting discussion regarding the relationship between the thematic layout and functionality. If the order of themes ("rotation") has any functional meaning, how is it possible that material which served for closing in the exposition (C) occupies the main section of the development, and that secondary-theme expositional material functions as retransition in the development? Perhaps function is created by the placement of themes in relation to one another at every given section (regardless of their prior order of appearance in the exposition).

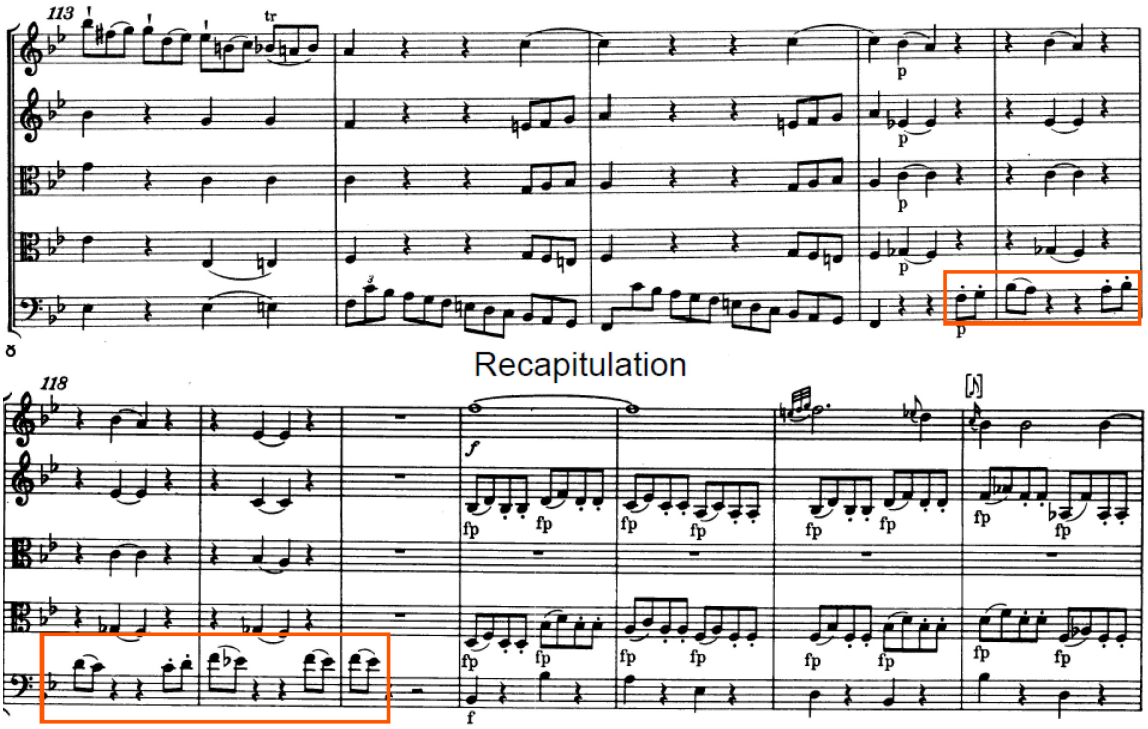


**Example 1.10b Mozart, Quintet K.515 in C, I, mm. 187–193**

If the borrowing is identical, the function remains the same as well. This usually happens with RT sections: an expositional retransition becomes a developmental one. Since this procedure happens both in the first and the last quintets, it may be regarded as one of the standard options. Example 1.11, from K.174, illustrates.




**Example 1.11a Mozart, Quintet K.174 in B-flat, I, mm. 77–90**




**Example 1.11b Mozart, Quintet K.174 in B-flat, I, mm. 113–124**

**Sonata-Rondos**

Only three movements out of the eleven under discussion are rondos, or sonata-rondos. As discussed above, K.515 and K.614 are sonata-rondos (types $4^1$ and $4^3$ respectively) and K.516 is a rondo that has some strong sonata features. Earlier, I stressed the place and the importance of transition-like modules from the exposition in the thematic realm of sonata developments. Naturally, rondos and sonata-rondos differ from sonatas, in that they are, by definition, governed by one theme ($P^{rf}$). Since the thematic layout in the exposition is different between rondo types and sonatas (in rondo there is another appearance of the P material before the development proper), the thematic layout in the proceeding developments would also be different. From a harmonic point of view, the opposition between the primary and the secondary key is not the same as it is in sonata (-allegro) movements: the return of the home key with the refrain (after S) creates much more tonal stability. In order to project a sense of restlessness, *Sturm und Drang*, etc., the developmental process in such rondo forms has to shake the strong foundations which

the refrain had set earlier. Paradoxically, the manner in which it is done is by using the refrain again, as thematic base for the core. The working out of the refrain in the core—which includes modulation, fragmentation, and imitation—may be regarded as a process of *distortion* of every foundational, stabilizing, "tight-knit" aspect of the refrain. This is another reason why fugues are so suitable for this type of development, and this is the reason for the specific thematic choice of the refrain.

**Summary**

In the first pages of this chapter I have explained how Caplin's concept of a tripartite development section applies not only to sonata movements, but also to sonata-rondos. While I tend not to accept wholesale the rotational view of sonata as Hepokoski and Darcy presents it, there is an underlying truth in it which I would like to stress: the thematic layout of the exposition does create a "mirroring" effect. However, the development does not mirror the exposition, but rather, the complete structure of sonata-allegro movement.

| | | |
|---|---|---|
| **Exposition** | "setting of conflict," structural crescendo | **Precore** |
| **Development** | "conflict—storm and stress," peak of tension | **Core** |
| **Recapitulation** | "Resolution, homecoming," diminuendo | **Retransition** |

**Figure 1.1a "Mirroring" of Sonata Allegro and Development Section**

The following pyramid reflects both the resemblance in structure, as well as the tension ratio between the form and its central section:

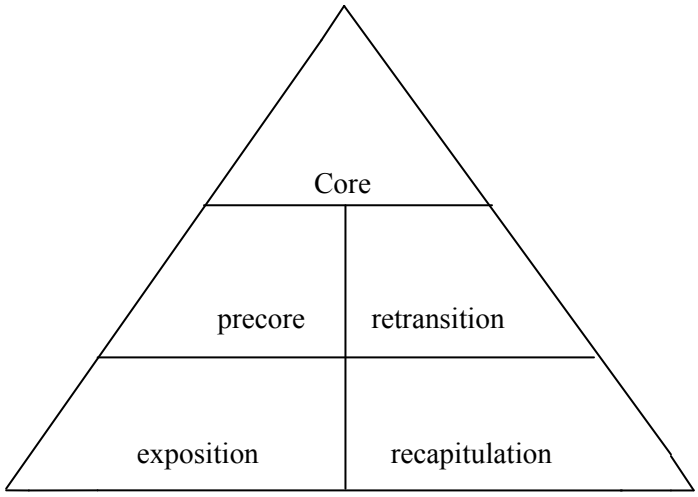



**Figure 1.1b "The Pyramid of Tension"**

In regards to caesuras, which so often appear between the precore and the core, one may claim that their existence and placement supports the rotational view of the development, simply because they reproduce an important expositional harmonic and rhetorical gesture, between two thematically and tonally separated sections, and their developmental function is somewhat similar to its function in the exposition.

In lieu of the rotational concept, I have offered the "potential for development," as a more nuanced parameter for thematic choice. Also, this parameter exemplifies the unbreakable dependence between rhetoric (thematic) and harmony. In the rondo-sonatas under discussion, it seems that the stability of the refrain can only be broken through the distortion of the refrain itself. Naturally, one may observe the paradox between these two parameters: in sonata movements the least stable sections are chosen for development while in sonata-rondos it is the most stable unit that is most commonly chosen for development. The way that this paradox may be moderated is rather simple: sonata-allegro form is governed first and foremost by its harmonic structure. It defines form more than any other parameter. In sonata-rondo however, the refrain is the most principal factor. It is so dominant that it has to appear in the development as well.

# Chapter Two: Harmonic Organization

**Introduction**

As already discussed, this dissertation is based on the research works of Caplin and Hepokoski & Darcy. Adopting some of their methodologies, I will address the crucial beginning and ending points of the development, as well as the overall form and the principles of the compositional plan as these apply to the movements under discussion.

Caplin discusses the tonal hierarchy of keys in the development section in the context of the form as a whole. He places, naturally, the home key tonic first, and the subordinate key second. Next in line are the keys in the development section. Their rank within the development is defined by the level of their harmonic confirmation (or cadential articulation) on a scale that starts from authentic cadence, through half cadence and dominant arrival, to the lack of cadential arrival (deceptive cadence, etc.). The primary developmental key (i.e., with the strongest confirmation) tends to be the final key of the development.

Hepokoski and Darcy's conception of the tonal structure of the development is not hierarchical in the same way. Using a Schenkerian approach, they consider the development section as a whole to be a prolongation of the dominant, meaning, in major-mode pieces, that the tonicized dominant at the end of the exposition (that is, V understood as a local tonic) is regained at the end of the development as an "active" dominant within the home key. "$V_A$" refers to an "active dominant," understood as a chord within the orbit of the home tonic, rather than as a key in its own right, as it had been within S-space (Hepokoski and Darcy's term for the dominant as key is "$V_T$", or tonicized dominant). Both Caplin and Hepokoski and Darcy agree that by default, the development section ends with a gesture of HC (half cadence) which sets up the tonic at the beginning of the recapitulation. Both theoretical approaches identify the submediant as an important tonal area, frequently visited in the development.

In this chapter I will analyze each major junction in the development from a tonal point of view. Similar to the methodology of the first chapter, I will be looking for recurring patterns, and whenever a deviation from a norm arises, I shall try to explain the source of it. I begin with the critical framing maneuvers of the development: the first key area and the last harmonic gesture. Subsequently, I examine the processes within the body of the development section, proceeding from the first tonicized key area to the final cadence.

**First Tonicized Key**

I view the first tonicized key and not the last one as the most important one. The first tonicized key may be regarded as the takeoff point—the "tonic"—of the development section. This key arrives at the beginning of the core or pseudo-core section, and is usually preceded by some cadential preparation. Despite its importance, however, the first tonicized key may occupy just a short span of measures. The other harmonic landmarks in the development perhaps make a stronger reference to the home key tonic than they do to the first tonicized key.

The primacy of the first tonicized key is defined not only by the harmonic preparation it receives, but also by its placement. To clarify, in both major and minor mode movements, it is very common for developments to end with an active dominant prolongation ($V_A$) and a HC gesture preparing the tonic return in the recapitulation.[21] This indicates that, at least in one sense, the ending of the development is the harmonic "goal" of the development section. For the same reason (the recurrence of this harmonic gesture), the harmonic "story" of the development, which varies between one development section and another, may be seen as the way in which the music goes from the first tonicized key to the last $V_A$. The first tonicized key usually appears at the

[21] Hepokoski and Darcy elaborate on the other, less common harmonic options for the ending of the development section, and the beginning of the recapitulation, in James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006) 230-237, 253-260.

beginning of the core section.[22] The following table shows the first tonicized key area of the development sections under discussion (see Table 2.1).

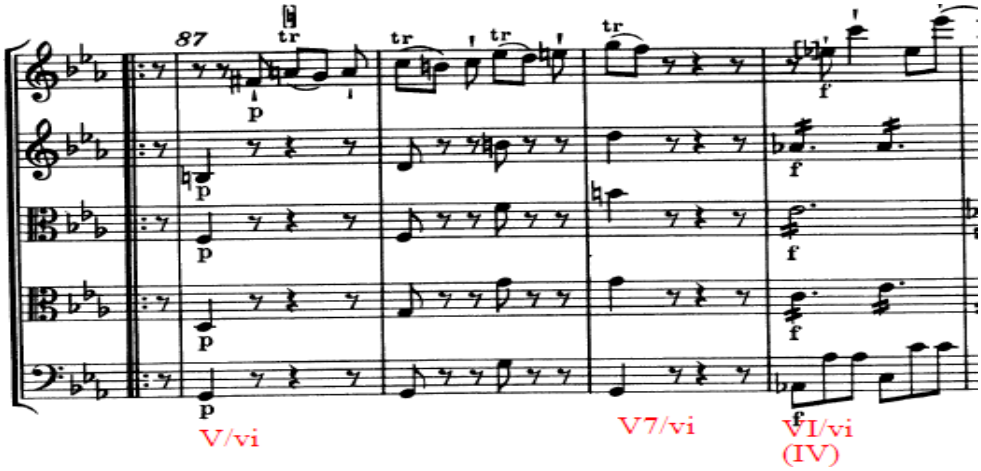
[22] The core section, as discussed in the previous chapter, is the central subsection of the development according to Caplin's division.

**Table 2.1 First Tonicized Key of the Development Section**

| Quintet | K.174 | K.174 | K.406 | K.515 | K.515 | K.516 | K.516 | K.593 | K.593 | K.614 | K.614 |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Movement | I | IV | I | I | IV | I | IV | I | IV | I | IV |
| Home tonic | Bb major | Bb major | C minor | C major | C major | G minor | G major | D major | D major | Eb major | Eb major |
| First tonicized key | G minor | Bb major | Eb major | A minor | F major | Eb minor | C major | F major | C major | Ab major | F minor |
| Scale degree | vi | I | III | Vi | IV | Vi | IV | bIII | bVII | IV | ii |

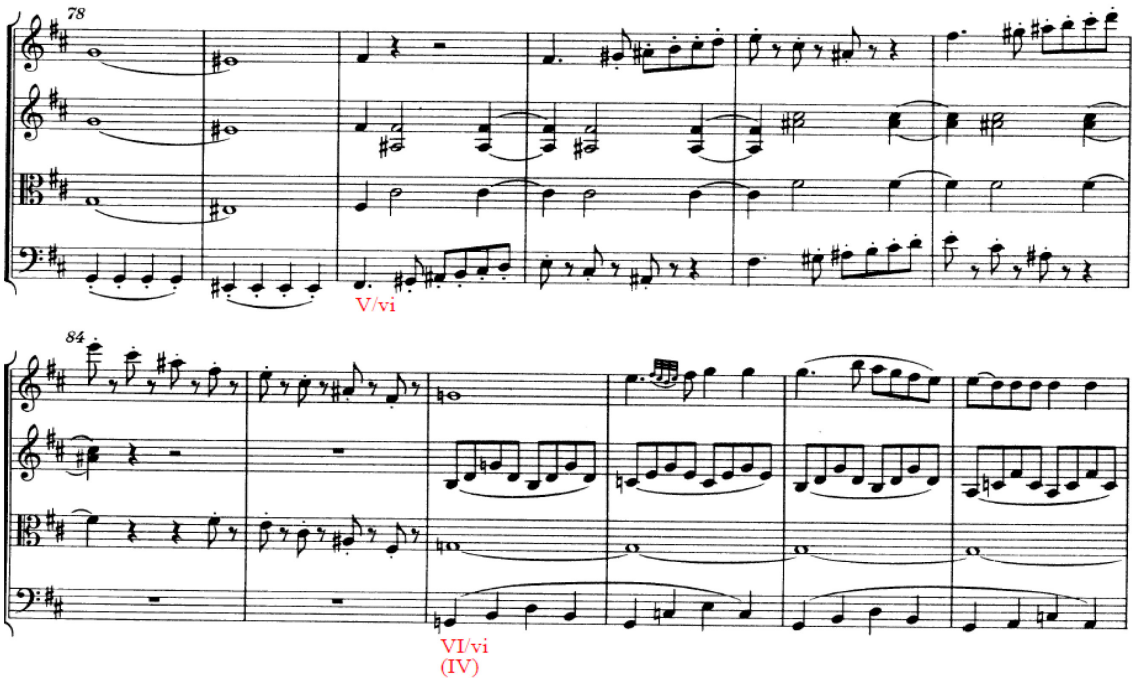
## Opening Movements

At first glance, it seems that the first tonicized key varies quite a bit between every piece in the quintets group; there are no less than seven different options for a total of eleven outer movements. The table above might be somewhat deceptive, however. The key area which appears most frequently is vi (in the first movements of K.174, K.515, and K.516). In K.614 the core starts on the subdominant. Even so, the harmonic preparation in mm. 87–89 is a half cadence which would naturally lead to C minor, but continues into A-flat, the 6th scale degree of the prepared C minor. The astonishing deceptive-cadence effect in m. 90 almost emphasizes the original 6th scale degree by its absence, and substitutes it with another vi (see Example 2.1):




**Example 2.1 Mozart, Quintet in E-flat, K.614, I, mm. 87–90**

Beyond the quintet genre, similar procedures occur in other pieces by Mozart, in the same place in the beginning of the development. Consider the following example from the first movement of the first "Prussian" Quartet in D major, K.575 (Example 2.2):




**Example 2.2 Mozart, Quartet in D, K.575, I, mm. 78–89**

With these examples in mind, one can posit a central place for the submediant as the first tonicized key. Indeed, examining all of the Mozart string quartets in the light of Hepokoski and Darcy's conception of "defaults" (generic options considered as a weighted system of preferences, described as "first-level", "second-level" defaults, and so on), it is possible to cautiously claim that the first-level default for a first-tonicized-key-area in a tripartite major key development section is the submediant.[23] This can be seen also in the first movements of the Quartets K.590 in F major, K.387 in G major, and K.428 in E-flat major. When the mediant or the lowered mediant is the first tonicized key, it usually functions like a submediant in relation to the home dominant. This case may be regarded as a second-level default, and is found in the first movements of the Quartets K.499 in D major and K.589 in B-flat major. The third-level default would be deceptive-cadence relations that are not directly related either to the [home] tonic or to the dominant (this has to involve a cadential preparation that leads to a deceptive resolution). This

[23] A tripartite developmental structure occurs in the majority of first movements. The general rhetorical/thematic structure of developments has been discussed in the previous chapter.

procedure is found in the Quartets K.465 in C major and K.575 in D major. Any other option should be considered a fourth-level default.

Regarding pieces in the minor mode, such as the Quintet in C minor, K.406, the first-level default is v (the minor dominant key). This is also the case in the Piano Concerto in C minor, K.491, and the Quartet in D minor, K.421.[24] In K.406 both the opening harmony and the first cadence of the development section are in the relative major, Eb (III). In this case, however, it is clear that this is an extension or reinforcement of the final cadence of the exposition. The first "real" developmental key is the minor dominant G in the beginning of the core, m.115.

Coming back to the string quintets, of the six first-movement development sections under discussion, only K.593 does not open with, or make any direct reference to, the submediant, but rather goes to the distant key of F major (m. 106). In the context of this movement, which has a very unusual thematic and harmonic structure, this is (paradoxically) not surprising. To understand the larger context, let us first look at the introductory Larghetto: aside from the tonic and dominant (D and A respectively), which naturally occupy the opening phrase, the first tonal centers presented are the supertonic E minor (m. 5) and the lowered mediant F major (m. 9). The supertonic harmony is elaborated in the third and fourth measures of the Allegro's opening theme, P (mm. 24–25). The F major seed remains untouched throughout the whole exposition. It only makes sense that it blossoms in the development.

In addition, it may be that in the light of the highly chromatic introduction, and the dramatic modal shift to A minor in the secondary theme, S (mm. 81–88), to open the

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[24] The case of K.421 does not fit in the category of the dominant minor as naturally as the other two examples, and requires, hence further discussion. The striking E-flat (Neapolitan) opening of the development is prepared very briefly, in just one measure of the second ending of the exposition. On a larger scale, the E-flat is a lower neighbor to the pedal point E (mm. 46-49) to follow, which leads to a cadence in A minor (v, in m. 53). Even though I regard A minor as the "real" first tonicized key, I can certainly accept another interpretation, according to which E-flat is the first tonicized key, and it is a fourth-level default. In many ways, the E-flat opening of the development tells the harmonic "story" of the whole section, and in that view, it surely may be regarded as the first tonicized key.

development with a relatively close key of B minor (vi) would make a very weak effect. Last but not least, perhaps the F major section is not strictly comparable to the other sections under discussion, since in the other cases (excluding K.406), the first tonicized area is the opening of the core section. If one chooses to view the beginning of the core as marking the first tonal center of the development, then the first tonicized area would be F-sharp minor in m.123, which is vi of the secondary key of A major (second-level default).

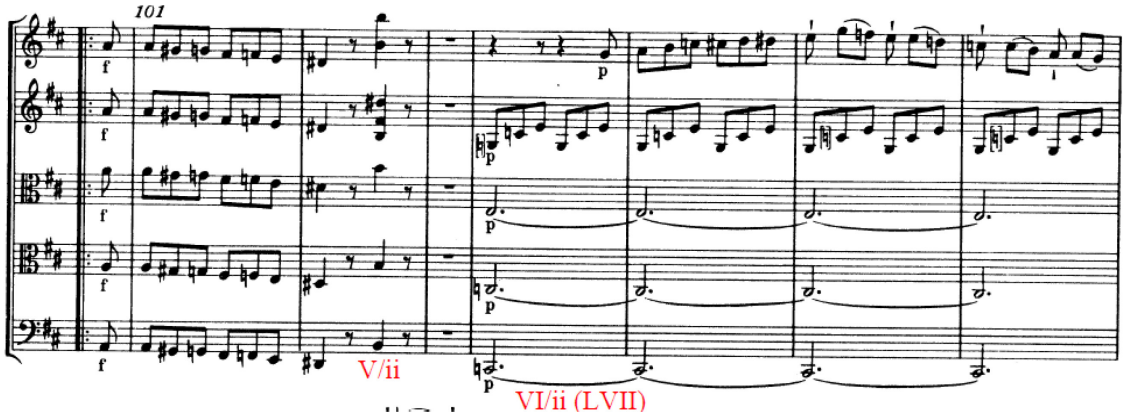
## Final movements

The last movements of K.174 and K.593 are especially interesting. Like the first movements discussed earlier, they are sonata-allegro movements, but they have quite a different and unusual harmonic structure. The two movements share several structural similarities: (1) an overall sonata allegro form; (2) strong rondo features, and a play on the genre ("Is this a rondo? Is this a sonata? What is coming next?"); (3) the development section has *two* central sections, surrounded by a pre-core and retransition; (4) the development takes off from the tonic area.

In K.174, the question of the double core is worth exploring. The first core (mm. 95–121) does not articulate any tonal center in particular, other than the tonic. The first sequence of the model (mm. 107–110) is in C minor. At this point however, the supertonic has no significance since it is neither the beginning of the core, nor does it last more than four measures. My understanding of this harmonic choice has to do with Mozart's "double natured" sonata-rondo: the return of the P theme in the middle of the development is a sharp turn towards a rondo. The tonic beginning of the development is a subtler hint to the listener, suggesting that what will follow may be another couplet. Even though this is clearly more a sonata than a rondo, in order to preserve the tension (or the play) between the two forms, Mozart had to go back to the primary key of B-flat major. One may claim that the repeated thematic material is the TR, and therefore it is not associated with a rondo theme. However, the expositional TR material (which is quoted in the beginning of the development) is originally non-modulatory as it ends with a I:HC MC; it has

a strong association to the P theme. To clarify, because of the home key tonality of B-flat, the immediate, first listening experience may very well create the psychological effect of a refrain (even though the thematic material is that of the TR).

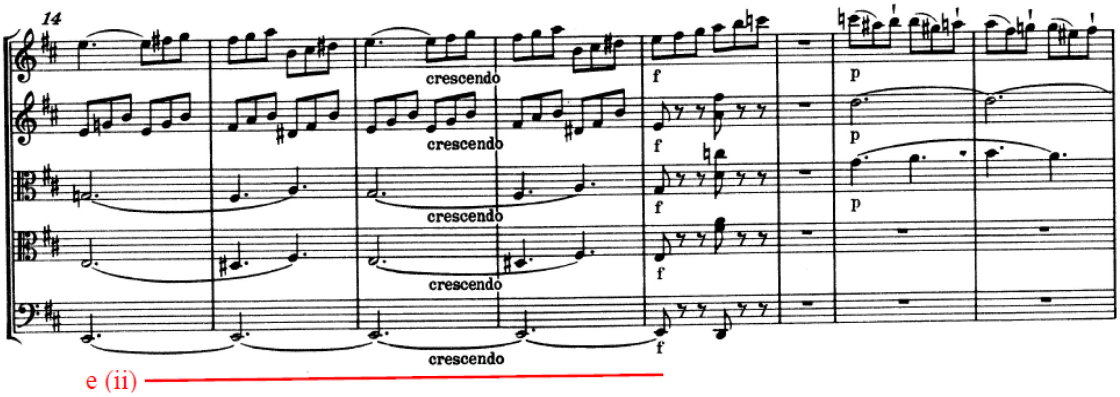
Like K.174, the last movement of K.593 is also a sonata-allegro movement with several strong rondo features. The first of them is the small ternary (ABA') structure of the opening theme. The repeated A part is naturally associated with a rondo refrain, and so are the multiple repeat signs (m. 10, m. 36, m. 100). With respect to the development section, even though it does not open with the home key submediant, there is a strong, surprising deceptive cadence four measures in, thus articulating a *local* submediant (third-level default; see Example 2.3):




**Example 2.3 Mozart, Quintet in D, K.593, IV, mm. 101–104**

When discussing the tonal starting point of the development in the first movement of the piece, the overall complex harmonic domain (especially of the introductory *Larghetto*) was offered as a possible explanation for not choosing the first-level default submediant to open the development. In this last movement it seems that this may also be the case. In the very beginning of the movement, the B part of the small ternary is supported, at least half way, by the supertonic E minor pedal (see Example 2.4). In this general context it might make a weak effect if the

development started with the home key submediant, as it is a closer key to the tonic than E minor.




**Example 2.4 Mozart, Quintet K.593 in D, IV, mm. 14–21**

The last movements of K.515 and K.516 both use the subdominant as the first tonicized key area. With K.515, some interesting evidence in this regard can be found in Mozart's sketches for the movement.[25] Looking at the initial plan for mm. 212–232, it is clear that, though it lacks the eventual repeat of the refrain and the transition before the core (mm. 212–287 of the final version), the core itself was to start on F major: the sketch clearly articulates a HC on C major leading to F major. This sketch is especially enlightening: if Mozart had chosen to use this version then the overall form would not be a sonata-rondo but a sonata-allegro (assuming that the ending of the development would be altered as well). In both cases, the core would be in F major. The conclusion of this may be that the harmonic organization was predetermined, but the overall form was not (see Figure 2.1).[26]

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[25] W. A. Mozart, *Complete String Quintets*, edited by Ernst Hess and Ernst Ferdinand Scmhid, revision and introduction by Manfred Hermann Schmid (Kassel: Bärenreiter Edition, 3rd Printing, 2008), 183–184.
[26] In the name of balance, it should be mentioned that some analysts may regard the brief, shortened version of the theme in the beginning of the sketch as a return of the refrain, which would then place the piece in the sonata-rondo category anyhow.

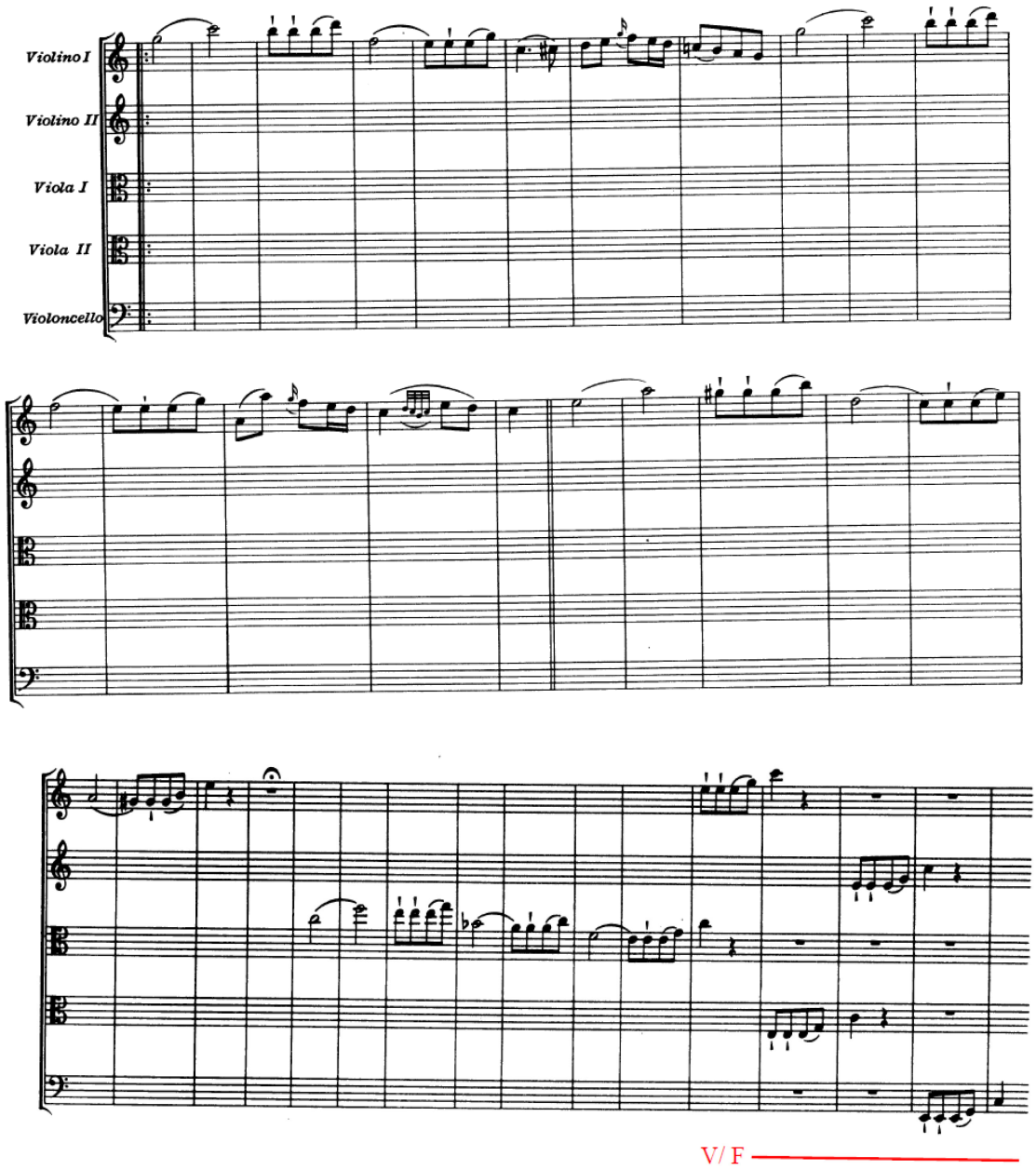
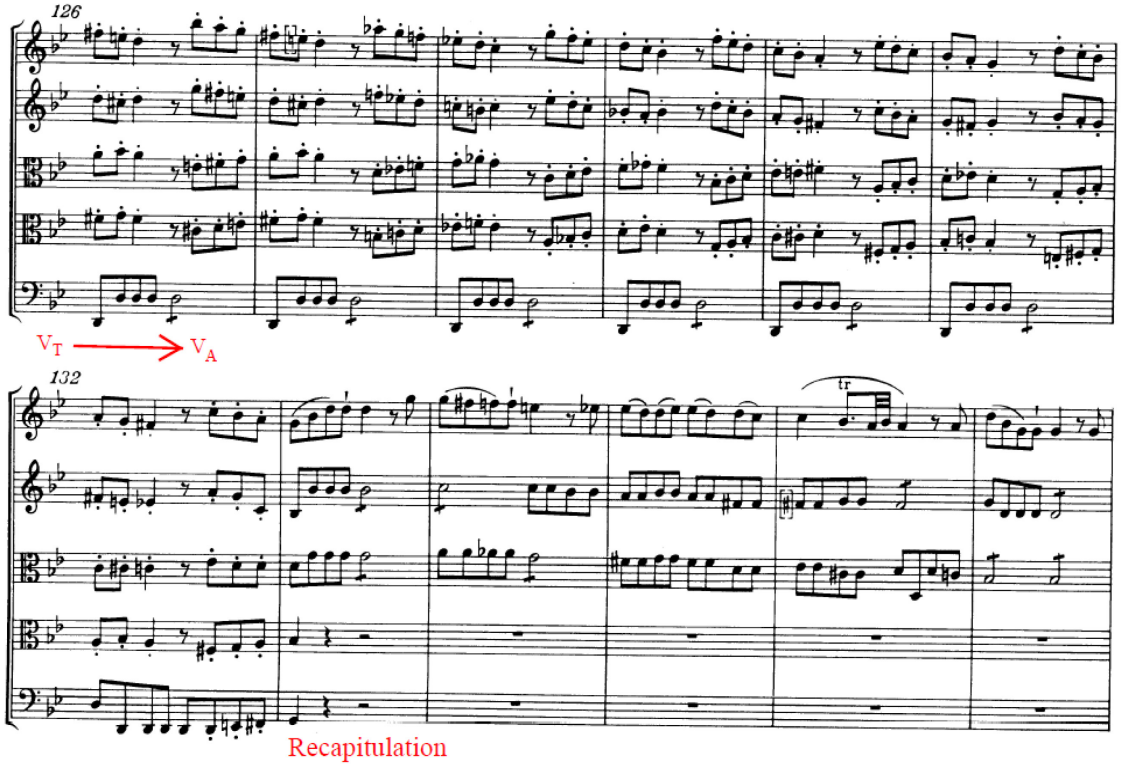



**Figure 2.1 Mozart's Sketch for the Finale of K.593, m.224**

Of all the finales under discussion, only in one development section, that of the last movement of K.614, does the minor mode predominate. The strong similarity to the "Hunt" Quartet in B flat, K.458, comes to mind when thinking of K.614, resemblances not only of genre but also of texture and even some harmonic processes. For instance, the first tonicized key in the quartet is C minor, ii, as it is in the quintet.

**Harmonic Target of the Development**

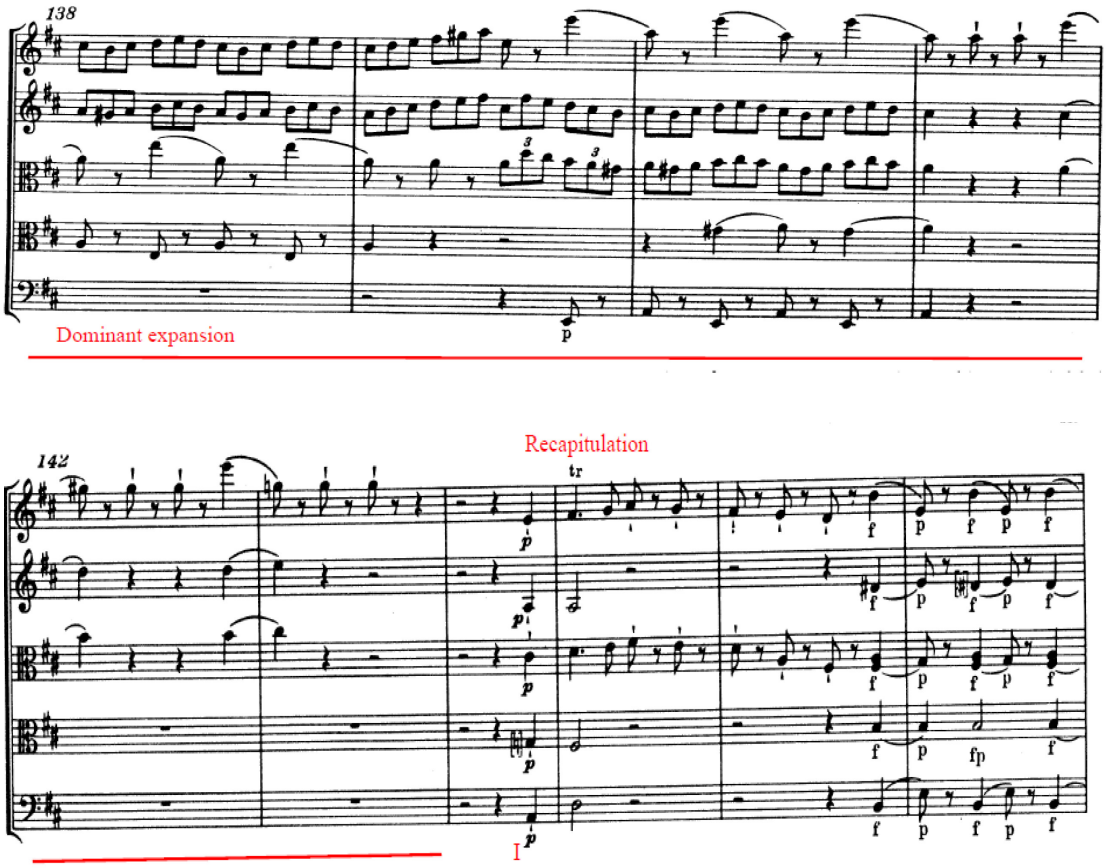
While there is some variety in the opening key areas, in the vast majority of the cases, and in all cases in the quintets group, the concluding harmony of the development is a $V_A$—a dominant chord in the home key (as mentioned earlier, "$V_A$" is Hepokoski and Darcy's term for an "active dominant," which is differentiated from a stable, tonicized dominant—"$V_T$"—that functions as a secondary key area).[27] In some cases the development ends with an actual HC in the home key which is followed by a caesura. The arrival at this final harmony is always preceded by either a standing on the dominant passage, or a dominant expansion of V; in both cases $V_T$ is redefined as $V_A$. The following extract from the first movement of K.516 shows the first of these options, a standing on the dominant passage (see Example 2.5):




**Example 2.5 Mozart, Quintet in G minor, K.516, I, mm. 126–137**

[27] Hepokoski and Darcy, *Elements*, 198.

Example 2.6, from K.593, shows the second option, a dominant expansion:




**Example 2.6 Mozart, Quintet in D, K.593, I, mm. 138–147**

Two movements form an exception to this pair of harmonic procedures: the finales of the "twin-quintets," K.515 and K.516. In these cases, as mentioned in the last chapter, the exposition's TR material is pasted, a fifth lower compared to its original appearance, at the end of the development, leading directly to the recapitulatory S (type $4^1$ sonata-rondo). With K.515, this means that there is some articulation of the subdominant (mm. 333–340) before the dominant expansion (mm. 341–357). This exception may be easily explained if one defines the ending of the development at the recapitulatory S.

**Table 2.2 Half-Step Approach of the Home key Dominant**

| Piece | K. 174 | K. 174[1] | K. 406 | K. 515 | K. 515 | K. 516 | K. 516 | K. 593 | K. 593[2] | K. 614[3] | K.614[4] |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Movement | I | IV | I | I | IV | I | IV | I | IV | I | IV |
| Approach by half step | Y | Y | Y | Y | Y | Y | Y | Y | N | N | Y |

*Remarks:*
1. K.174, IV: false-ending effect
2. K.593, IV: appears later on at the end of the retransition
3. K.614, I: It appears in the middleground level, not in the foreground
4. K.614, IV: false-ending effect

Hepokoski and Darcy discuss the similarities between the retransitional process and the (expositional) TR process, especially—but not only—with respect to the end of the development caesura and the MC.[28] In that regard, it is worth mentioning that like the stereotypical expositional "dominant lock," which arrives via ^4-^#4-^5 motion in the bass, the developmental dominant lock/dominant expansion is frequently approached by a half-step (The half-step motion reflects a secondary dominant on ^#4—a dominant chord of the home key dominant). This half-step motion occurs in the majority of the quintets (eight out of eleven cases). In each of the three cases in which this does not happen (K.516/IV, K.593/IV, and K.614/I) the deviation from the norm is for a different reason. I shall discuss each instance below.

In the finale of K.516, rather than vii$^{\circ 7}$/ V, a vii$^{\circ 6/5}$/ V chord appears (mm. 227–228), meaning that the half-step motion (C#-D) is in the top voice, and a whole step motion (E-D) happens in the bass. The reason for this is probably related to melody, and to other voice-leading factors. In terms of harmonic function, this does not make much difference.

In the last movement of K.593, the dominant pedal in m.152 also is not approached by a half-step. Since in m. 149 the home key has already been achieved it seems that the standing on the dominant passage (mm. 152–168) carries a slightly different meaning (or function) than it has in corresponding sections in the other quintets. It is more of a coda for a relatively large development section rather than a harmonic reactivation of the dominant. There is another way to account this divergence: one may claim that the Bb-A gesture which repeats many times after the dominant pedal substitutes for the half-step approach to the pedal point. Still, the beginning of the standing on the dominant section is surely unusual. In the first movement of K.614, the dominant Bb is not approached by half step on the foreground level, but in the middleground level (see Example 2.7):

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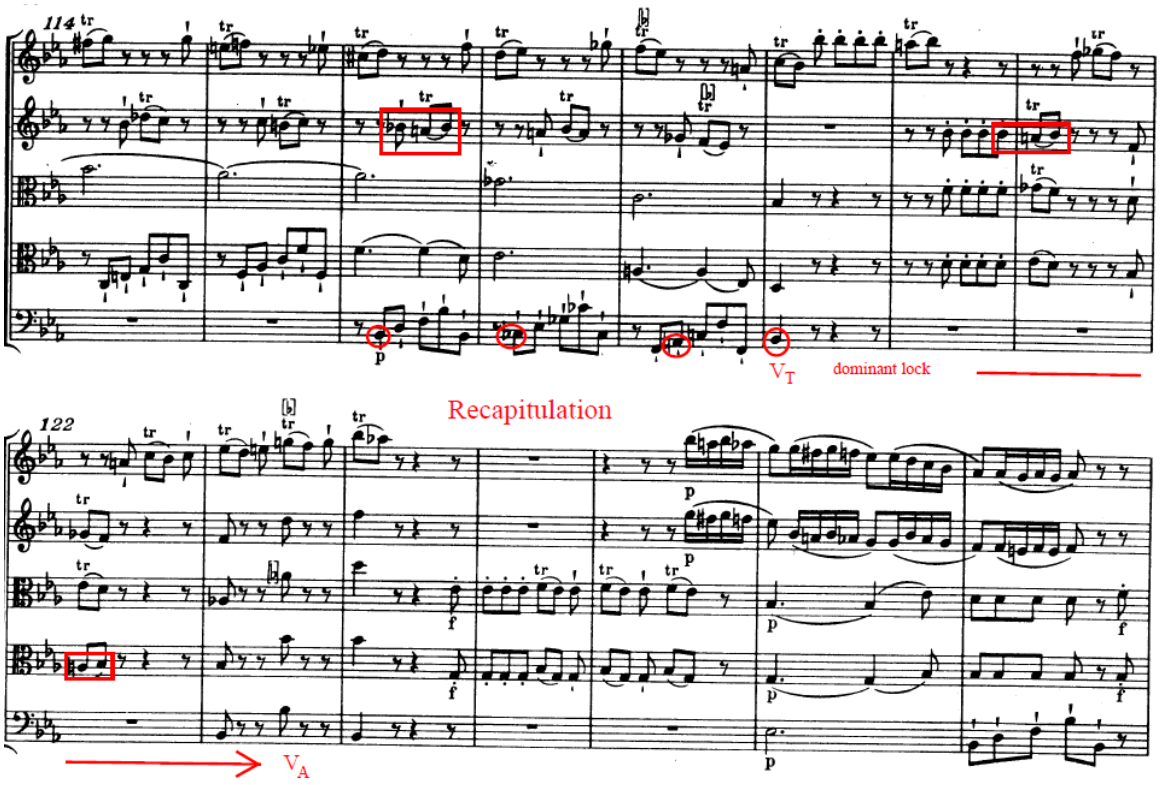
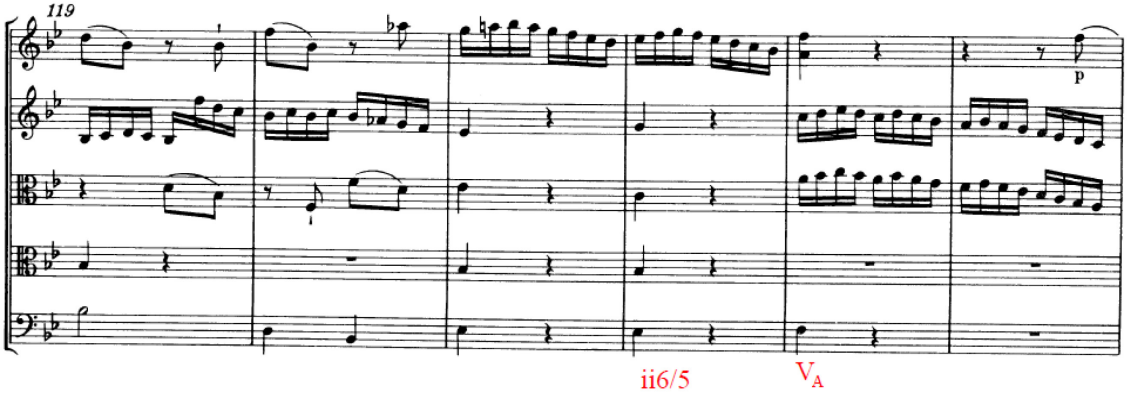
[28] Hepokoski and Darcy, *Elements*, 197–198.




**Example 2.7 Mozart, Quintet in E-flat, K.614, I, mm. 114–128**

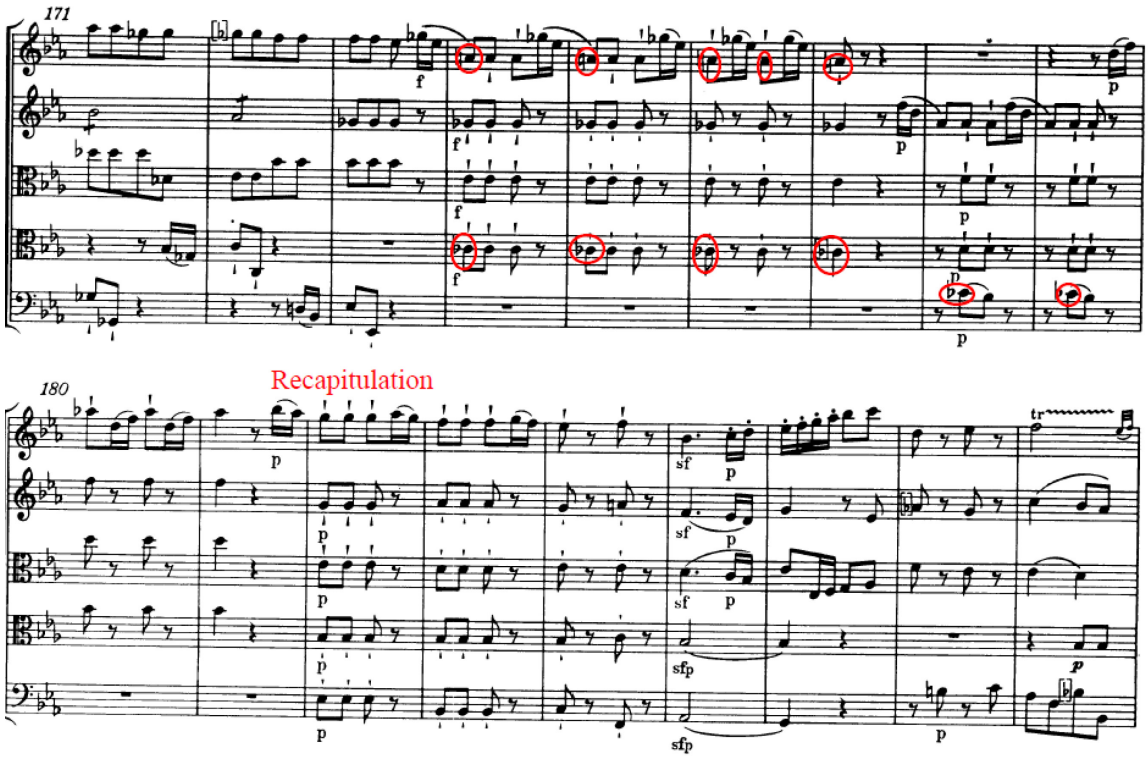
The importance of the half-step approach may be observed through the two instances of "false recapitulation" in the quintets: the finales of K.174 and K.614. In the earlier piece, the dominant which precedes the false recap (F, m. 123) is not approached by a secondary dominant, but instead by a home key subdominant chord of ii6/5.




**Example 2.8 Mozart, Quintet in B-flat, K.174 I, mm. 119–124**

K.614 is slightly more complex than K.174 in this respect. In this particular finale, there is a full, tripartite development section, containing a precore, a core, fragmentation process and

retransition. Considering the structure, one may wonder why Mozart did not proceed at m. 152 directly to the recapitulation (m. 181), but instead added another pseudo-core section (mm. 152–160) followed by another retransition (mm. 161–181). The answer lies in the thirty additional measures (mm. 152–181), but first, let us take a look at the preparation of the dominant: in mm. 142–148 there is a relatively long passage which articulates the secondary dominant of F. The home key dominant is reached in m. 149 without stepwise motion in the bass. It is not even in the upper voice, but it is hidden in the second viola part. Additionally, the dominant is hardly sustained (mm. 149–150), so overall it receives very weak articulation. The additional sections (mm. 151–180) make up for these missing elements at the end of the retransition. The end of the additional section (mm. 174–179) highlights both the leading tone of the dominant (A natural) and the Neapolitan of the dominant (Cb), both pitches being related by half-step to Bb. Thus, the dominant finally receives its proper articulation, the HC (half cadence) effect is achieved and the music can keep on going to the recapitulation. This formal juggling (the addition of extra-developmental sections) shows, in my view, the importance of the stepwise motion in the bass, and its importance as a "real" marker for the ending of the development and the arrival at the recapitulation (see Example 2.9).




**Example 2.9 Mozart, Quintet in E-flat, K.614, IV, mm. 171–188**

**Order of Keys and Harmonic Direction in the Core**

We turn now to the order of keys and sense of harmonic direction in the core of the development sections. Table 2.3 shows a very interesting aspect of the tonal motion. In the first movements, excluding K.516, regardless of whether the motion is stepwise or according to the circle of fifths, it is a *descending* one (counterclockwise). In the finales, on the contrary, the motion is always *ascending* (clockwise). Perhaps this is the reason why in opening movements the first tonicized key is higher than the home-key dominant, whereas in the finales (excluding K.593) the starting point is below the dominant. This phenomenon happens only in pieces which have a model-sequence type core, such as the Quartets K.421 and K.465. Similarly to the finales in the quintets, in the string quartets ——for example K.387, K.589, K.575—the harmonic direction of the core is ascending (clockwise). The ascending harmonic direction creates a more upbeat, light tone which supports the general character of a finale. Let us now examine the quintets in detail:

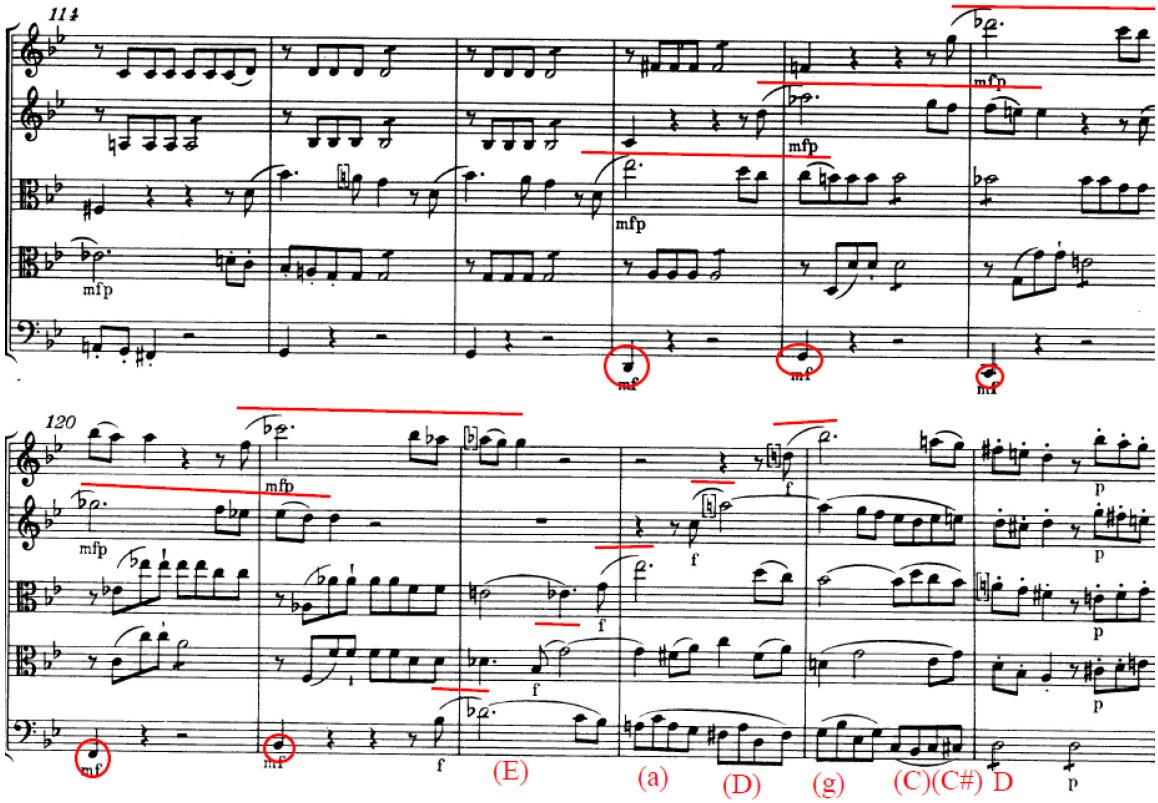
**Table 2.3 The Order of Keys in the Development**

| **Piece** | **K.174** | **K.174** | **K.406** | **K.515** | **K.515** | **K.516** | **K.516** | **K.593** | **K.593** | **K.614** | **K.614** |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **Movement** | I | IV | I | I | IV | I | IV | I | IV | I | IV |
| **key #1** | vi (g) | I (Bb) | v (g) | vi (a) | IV (F) | bvi (eb) | IV (C) | iii(f#) | bvii (C) | IV (Ab) | ii (f) |
| **key #2** | ii (c) | ii (c) | IV (F) | ii (d) | v (g) | bvii (f) | | II (E) | i (d) | iii (g) | vi (c) |
| **key #3** | V (F) | III (D) | III (Eb ) | v (g) | vi (a) | I (g) | | I (D)[29] | | | V (Bb) |
| **key #4** | I (Bb) | | II (D) Functions as V/v | i (c) | | | | | | | iii (g) |
| **key #5** | IV (Eb) | | | iv (f) | | | No core! | | | | ii (f) |
| **key #6** | | | | | | | | | | | I (Eb) |

[29] When the first tonicized key is iii, the mode and function of the following keys is as if the dominant is the tonic of the piece. For instance, the second key in the core is E major, V/V rather than II. This is also the case in the finale of the same piece.

**Circles of fifths**

Every development section in the outer movements of the quintets includes a descending circle of fifths motion. In the earlier pieces, K.174 and K.406, the circle of fifths motion takes place in the core; this is the case also in the first movement of K.593. In the rest of the movements, the circle of fifths motion appears in the retransition, supporting a fragmented version of the model of the core. Example 2.10 illustrates with a passage from the first movement of K.516.



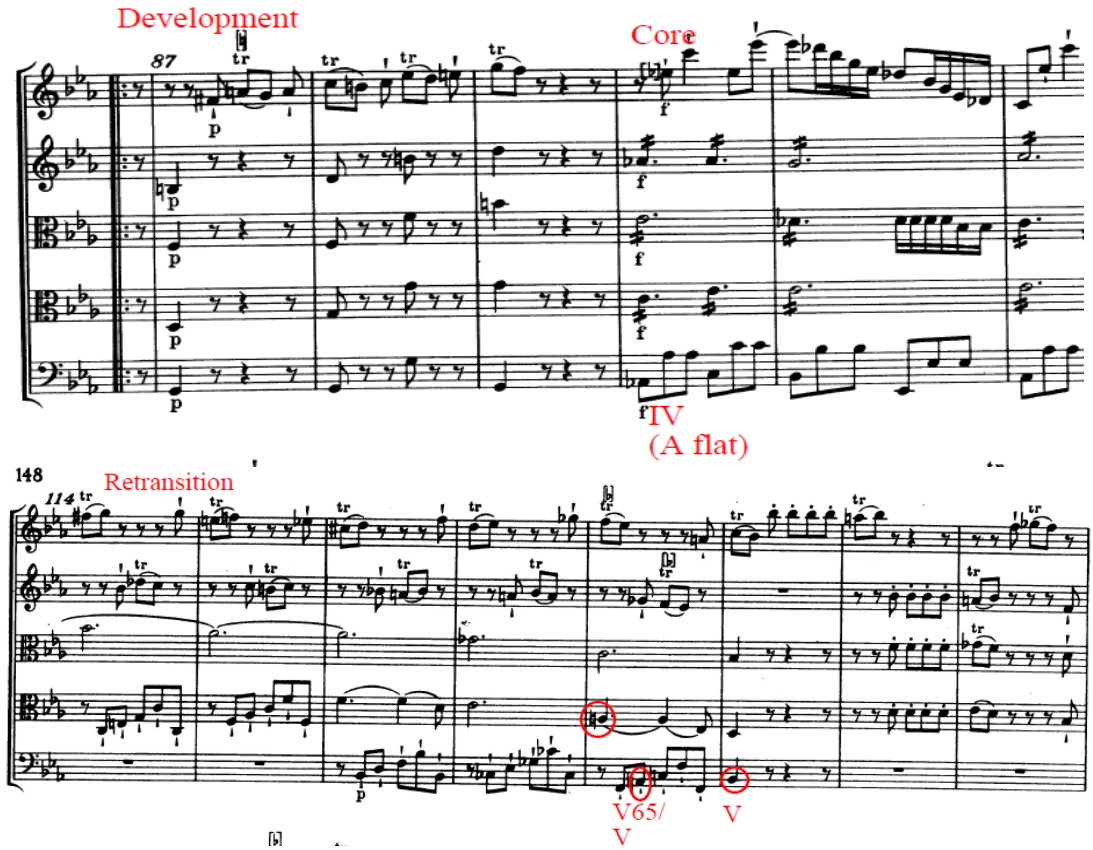

**Example 2.10 Mozart, Quintet in G minor, K.516, I, mm. 114–125**

**Retransition vs. TR and the Importance of the Subdominant**

I have discussed earlier the similarities between the retransition and the TR in respect to the dominant approach. The chromatic bass motion which almost always appears in expositional TR sections, before the dominant lock (scale degrees 4–#4–5), highlights the following functions, in order: subdominant – secondary dominant – dominant. This structure returns in the

development section, transposed to the home key (in the exposition the structure refers to the subordinate key, of course). In the finales of K.515 and K.516, type 4[1] sonata-rondos, the resemblance is literal, as the last section of the development is a home-key transposition of the ending of the expositional TR.

The span of this harmonic gesture varies between one quintet and another. It may be very concise, as in the first movement of K.516, and even hidden in the inner voices like in the first movement of K.515. It can also be spread over many measures, as in the first movement of K.614. Here, the subdominant is represented structurally in the first tonicized key of Ab (beginning of the core, m.90; see Example 2.11).




**Example 2.11 Mozart, Quintet in E-flat, K.614, I, mm. 87-90 and mm. 114–121**

Figure 2.2 below is a reduction of the large-scale harmonic process of the development section above, from the first tonicized key area in m. 90, through the half step motion in m. 118 to the dominant lock in m. 119.

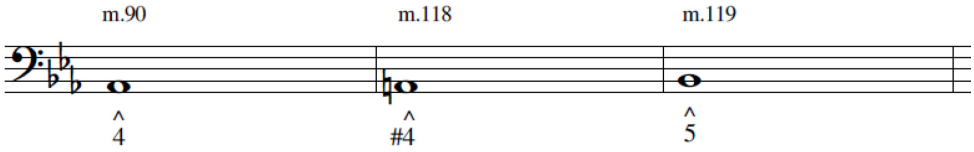



**Figure 2.2 Reduction of Large-Scale Bass-line in the Development of K.614, I**

In the last movement of the same quintet there is a true "developmental key," F minor, which occupies a great number of measures and a sizable fugue. I have briefly discussed the harmonic choice of F minor above in the context of an earlier Mozart piece. In addition, one may view this harmonic choice, ii, as a substitute for the subdominant which is missing in this development section.

**Overall Harmonic Plan**

As s summary of the discussion above, the harmonic plan may be described as follows: The first tonicized key, usually the submediant, is placed between the expositional dominant (of the secondary theme) and the dominant at the end of the development. It serves as an expansion of the dominant, so creating a large-scale upper-neighbor: 5-6-5. If the first tonicized key is the mediant, then it is another, low chromatic link in the 4-#4-5 chain into the dominant lock, producing a large scale 3-4-#4-5 motion. Such a view is obviously based on Schenkerian approaches. Whenever an actual submediant does not occur at the beginning of the development, one may speak of a "submediant effect" or "deceptive relationships" (I prefer the former), in the first half of the development section.

Hepokoski and Darcy describe the relationship between the exposition and recapitulation as "structure of promise" and "structure of accomplishment". I find that approach most suitable to describe the harmonic relationship between the exposition and development: regardless of what

the first tonicized key may be, the harmonic process is a transposition up a 4th or a major 6th of the expositional process (see figure 2.3). The first staff represents the first-level default, the second staff the second-level default, and the third staff the third-level default. To clarify, the parallel is between the TR and the S key on one side, and the retransition and the recapitulatory home key on the other. This harmonic relation norm, rarely altered, is perhaps the single most important harmonic means of creating the effect of "development" in relation to "exposition."[30]

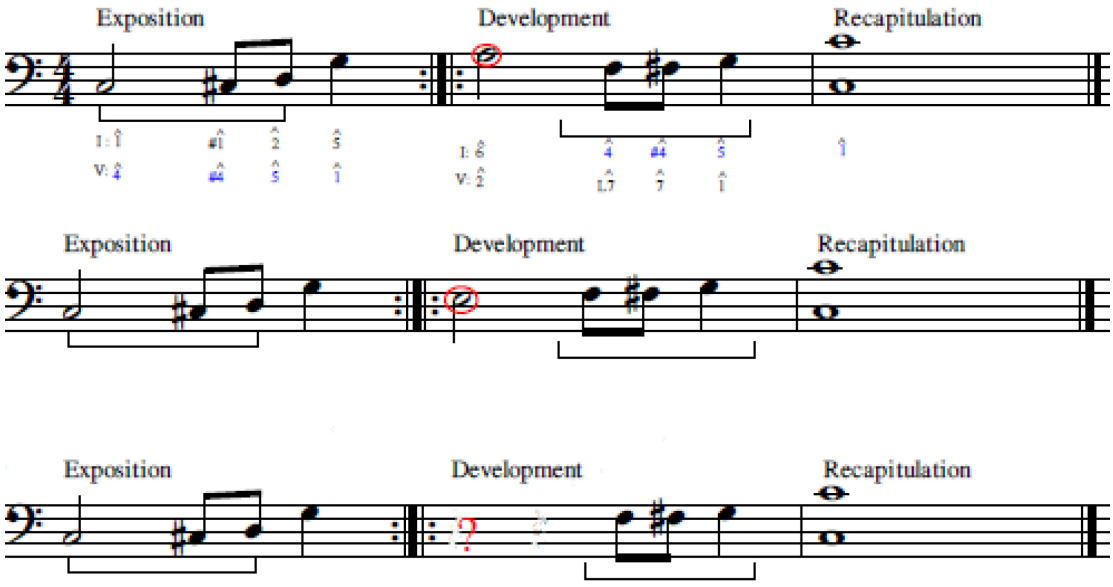



**Figure 2.3 Overall Harmonic Plan, Three Default Levels**

[30] The last statement naturally does not apply to the rare cases of off-tonic recapitulation, such as in the first movements of Mozart's Piano Sonata in C, K.545, or Schubert's 5th Symphony.

# Chapter Three: Texture

## Introduction

The genre which is the closest to the string quintet is naturally the string quartet. Both of these genres have a similar overall form; they include only string instruments; and these instruments generally have the same division of functions and the same range (the cello is assigned to the bass part, the first violin plays the melody in the highest tessitura, and the middle voices have supporting roles). It is the *differences* in the texture that are of interest in this chapter. What is the reason to extend the group by the addition of another viola? How does the addition of the second viola affect other aspects of the composition (thematic organization, etc.)? Does the additional viola change the balance and distribution of roles (or *functions*) in comparison to the string quartet? If so, how?

Before dealing with these questions, which relate not only to development sections but to the quintet genre in general, I will review the overall textural organization in the first and last movements of the quintets group, so to lay the groundwork for a more detailed discussion of the questions above. Also, it is an opportunity to discuss the relations between the development section and the overall form, and so to track the textural voyage of a complete movement.

## Textural Curves

Two seemingly opposite parameters are used to assess textural activity in this chapter: (1) **Independence** of parts, which is the number of parts which are not doubled; and (2) **Density**, which pertains to the number of parts playing identical lines, or different lines of the same rhythm (in rhythmic unison). The first parameter is naturally more important. Consider the following two cases: (1) a three-part piece, in which each line is entirely different; (2) a three-part piece in which one of the lines has a melody against two other lines that play an accompanying role together (or vice versa). The first piece is certainly more texturally complex than the second one. This is obvious, and can be expressed simply in terms of "polyphony," "homophony," etc. Since

Mozart does not always use the whole ensemble at the same time, assessing the density of the texture also provides a good description of the textural activity in the music.

Considering the two parameters above, in the vast majority of the quintets the textural peak is at the starting point of the retransition (at the end of the last sequence of the core). The two diagrams to follow are visualizations of textural process as it appears in the outer movements of the quintets group. While there are a few exceptions—to be dealt with either here or in the following chapter—this largely applies to all the outer movements in the quintets. Figure 3.1 represents a typical situation.

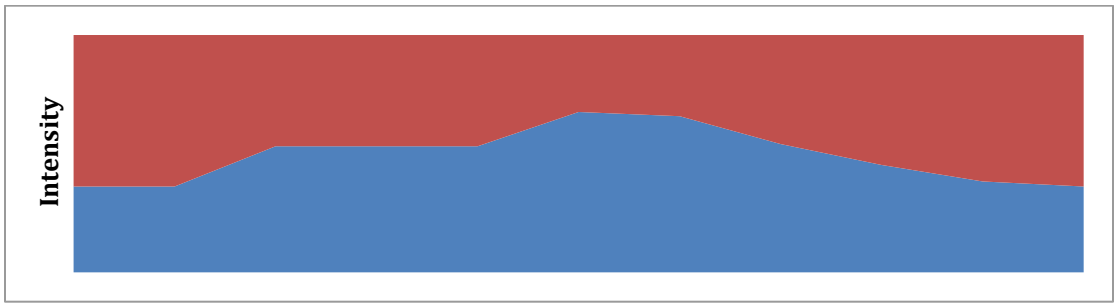



**Figure 3.1 Layout of Texture in Development Sections in the Mozart Quintets**

Generally speaking, the retransition is the point of highest activity, where fragmentation, accelerated harmonic rhythm and complex texture are combined together.[31] The curve of the development has some similarity to the overall textural curve of the complete sonata-allegro movements under discussion here. Consider Figure 3.2:

[31] It should be stressed once more that in my conception, retransition is a different section than just the "standing on the dominant." This subject is dealt with thoroughly in Chapter One.

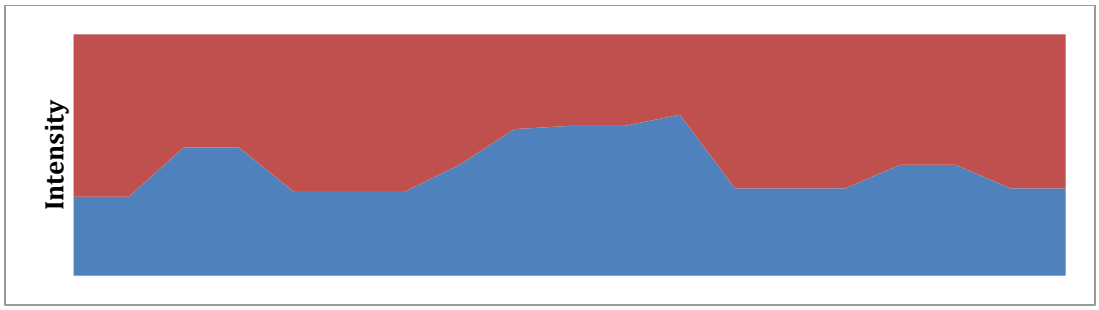
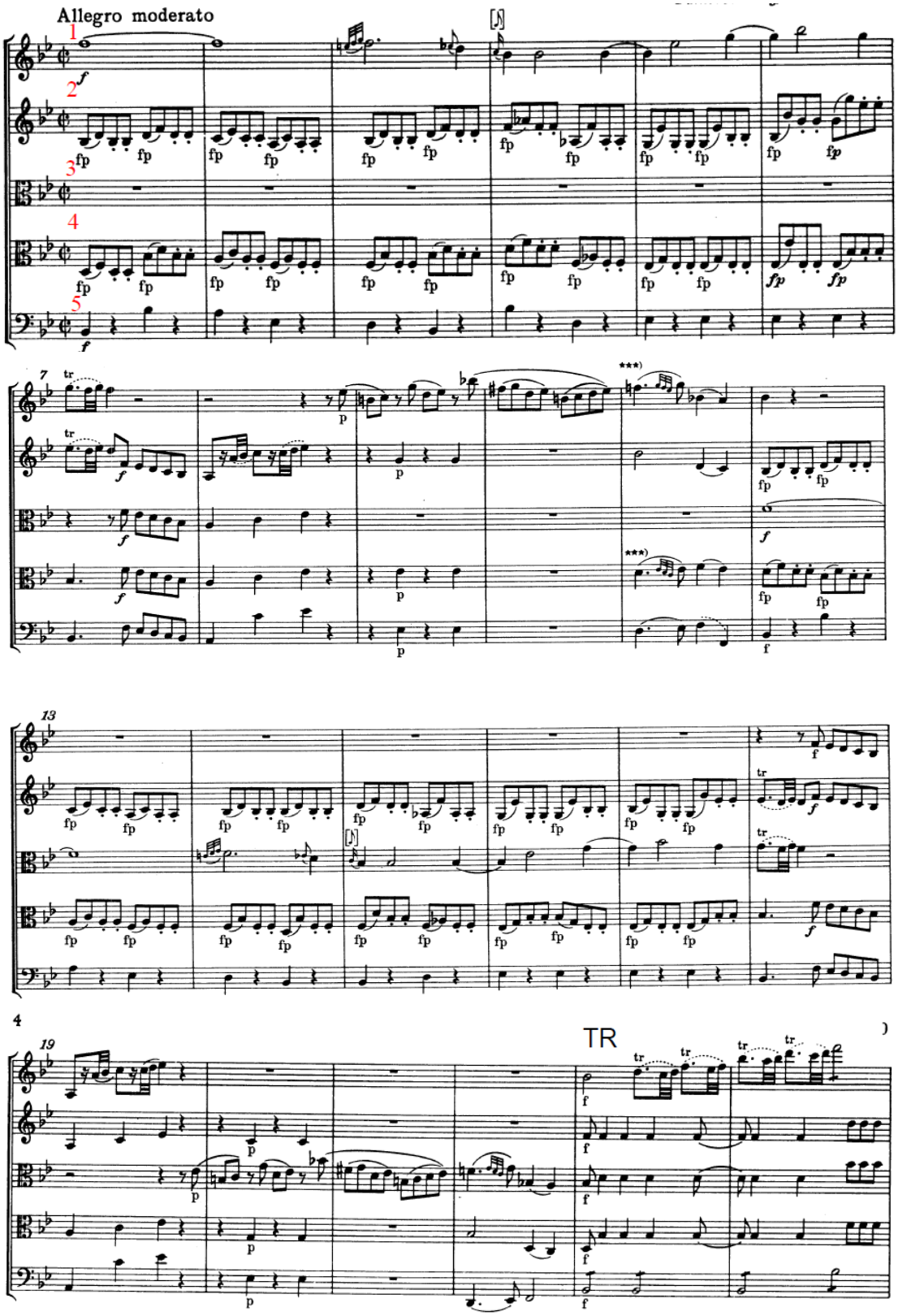



**Figure 3.2 Layout of Texture in Sonata-Allegro Movement in the Mozart Quintets**

In the exposition and recapitulation the most texturally complex points are in the TR. The development as a section is the most complex of the three large sections. While the figures above represent an average of the textures, it is worth looking at one case in detail, in order to understand how this works. I shall examine the complete first movement of K.174 (with a few turns into other examples), and follow with a more detailed analysis of the development section of the finale of the same piece.

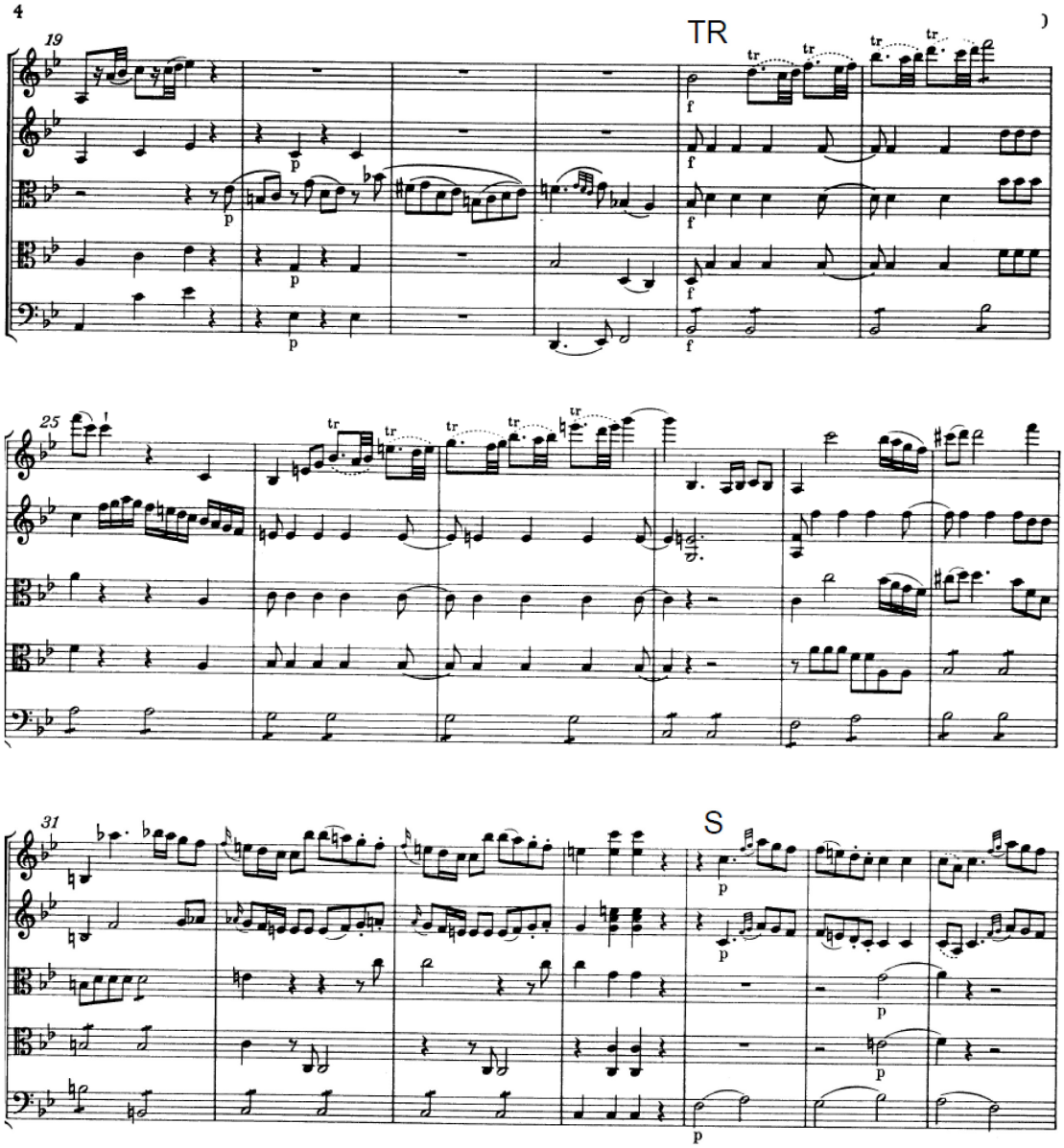
**K.174, First movement**

Let us examine the first movement of K.174. For reasons of economy and space, I will refer sometimes to the instruments by numbers; the first violin would be "1", the second "2", etc. P is very homophonic, and for the most part, only four instruments play at any one time. 1 plays the melody in mm 1–11 accompanied by 2, 4 and 5, while 3 rests. In mm. 12–22 3 and 1 alternate parts while the rest do the same part which they had been doing before (see Example 3.1).



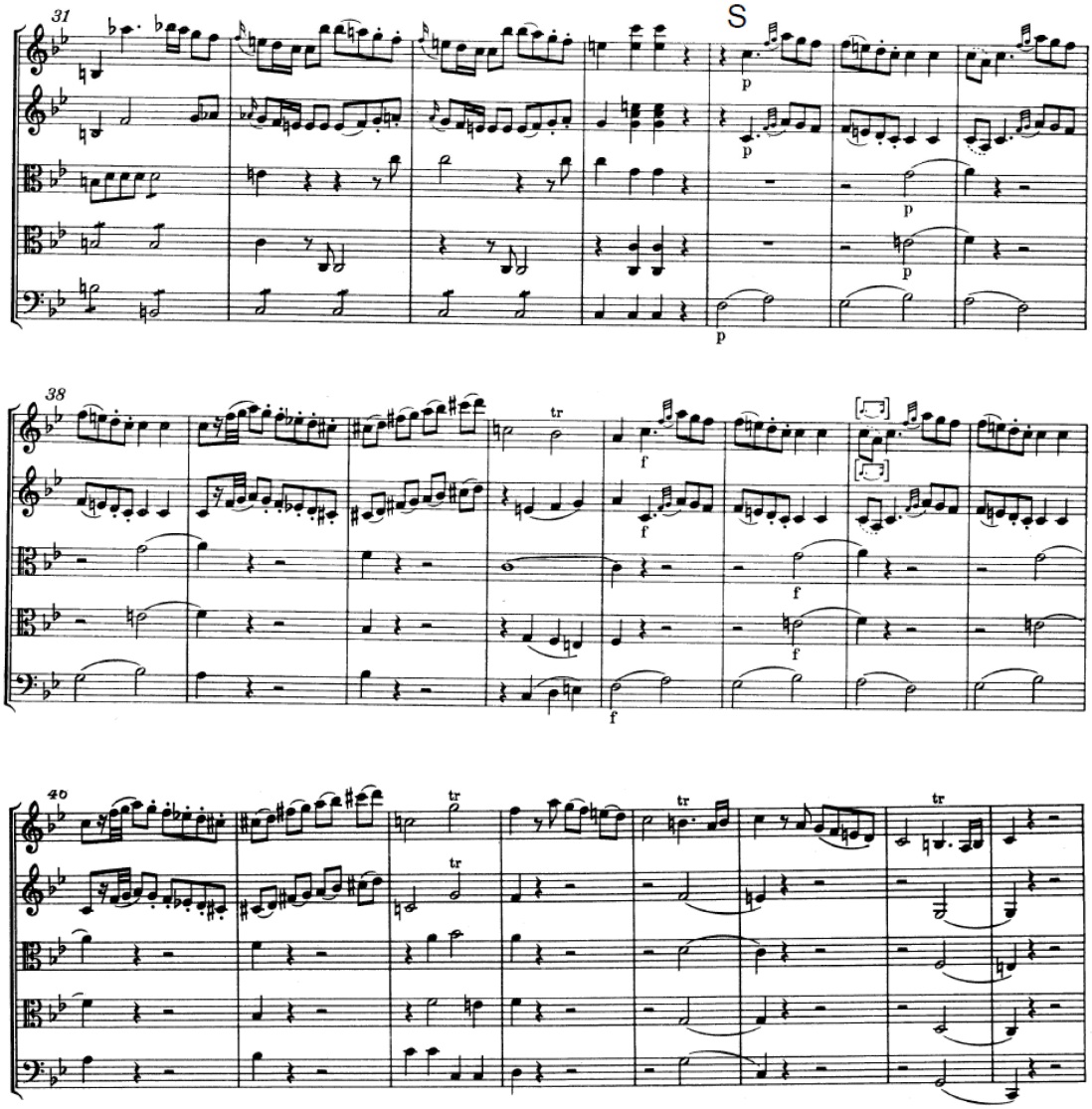

**Example 3.1 Mozart, Quintet K.174 in F, I, mm. 1–24**

As suggested in the Figure 3.2 above, TR is typically the highest point of textural activity in the exposition. First of all, comparing to the preceding P, this is a step up in regards to density: all five instruments play simultaneously (and not just four out of five). Secondly, while 1 still plays the melody, the accompanying pattern is more rhythmically complex, with 2-3-4 playing syncopes and 5 playing tremolo eighth-notes throughout. Third, there are occasional solo "comments" (like 2 in m. 25), and imitations (3 and 4, mm. 32–34).



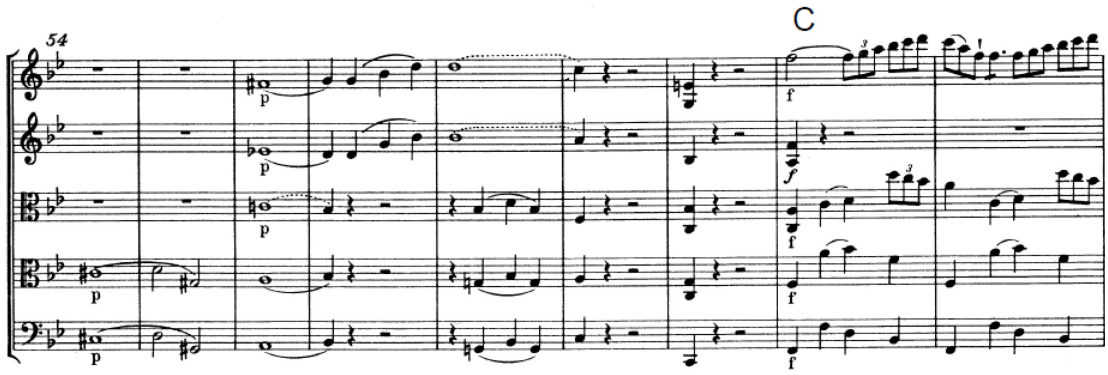

**Example 3.2 Mozart, Quintet in B-flat K.174, I, mm. 19–37**

S is a step down compared to the TR and it is generally on the same level of P (see Example 3.3). In some cases, like here, it is slightly more complex than P: one can argue that the density is slightly greater than in P, as 2 doubles 1 one octave below.[32]



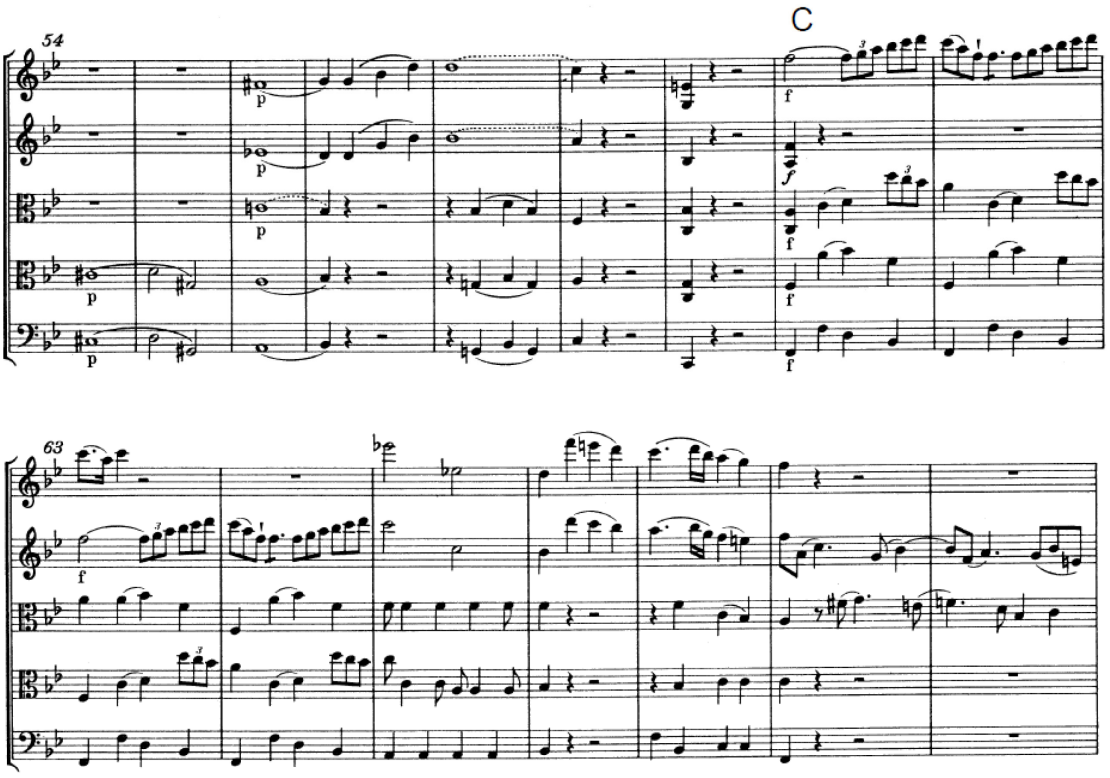

**Example 3.3 Mozart, Quintet in B-flat K.174, I, mm. 31–62**

[32] In the first movement of K.516, S is more texturally complex than the preceding expositional sections. Since from almost any "textbook" sonata perspective, be it tonal or thematic, this is an especially abnormal exposition, it is no surprise that its textural organization is also unique.

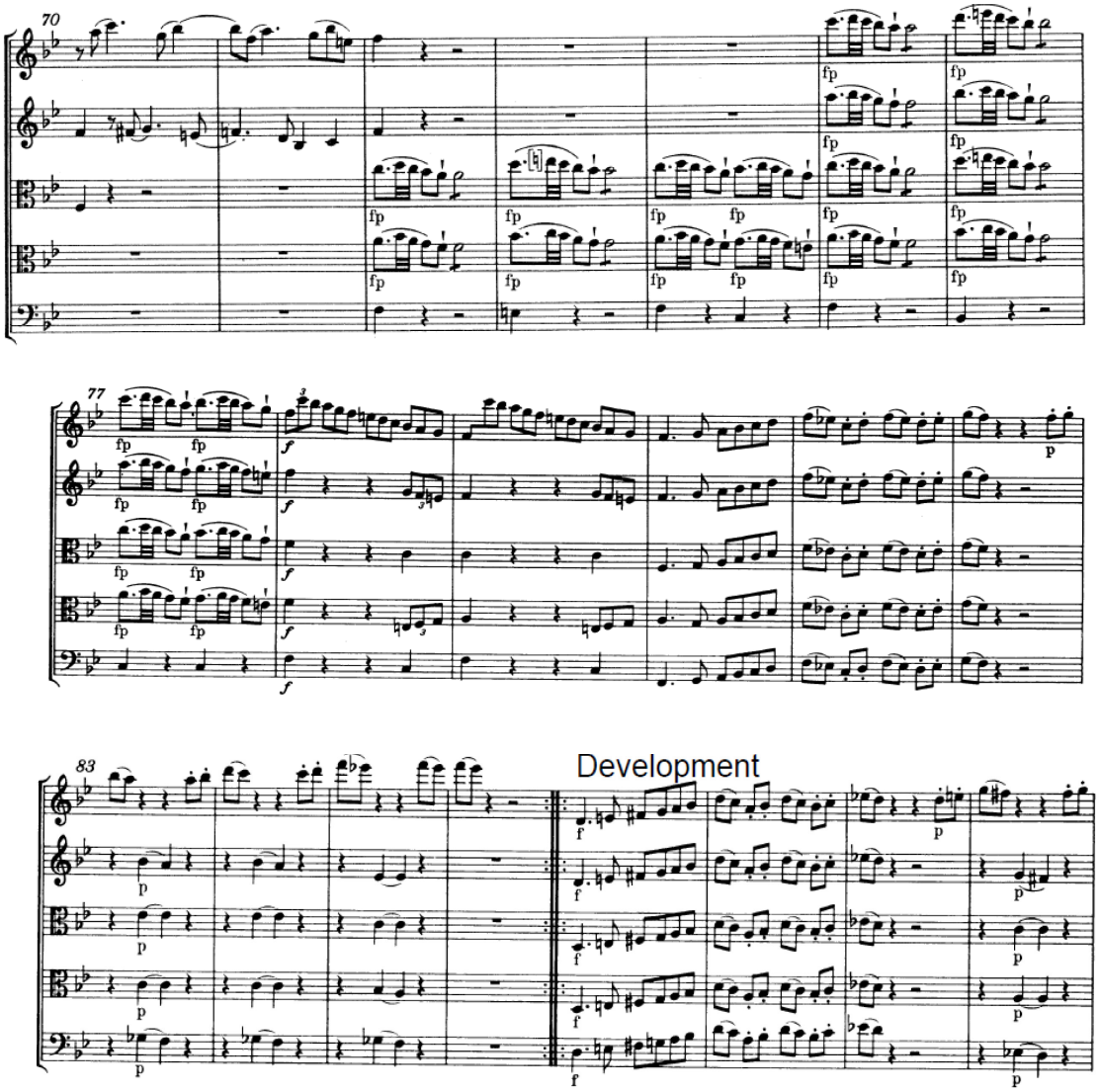



**Example 3.3 Mozart, Quintet in B-flat K.174, I, mm. 31–62 (continued)**

While C is not usually as complex as the TR, nonetheless it often demonstrates some low degree of imitation. Several such imitations occur here. 2 imitates 1 in mm. 61-64; 2+3 have a duet in mm. 68–69, which is immediately imitated by 1+2 in mm. 70–71; in mm. 75–77 1+2 imitate the duet of 3+4 in the previous three bars (see Example 3.4).

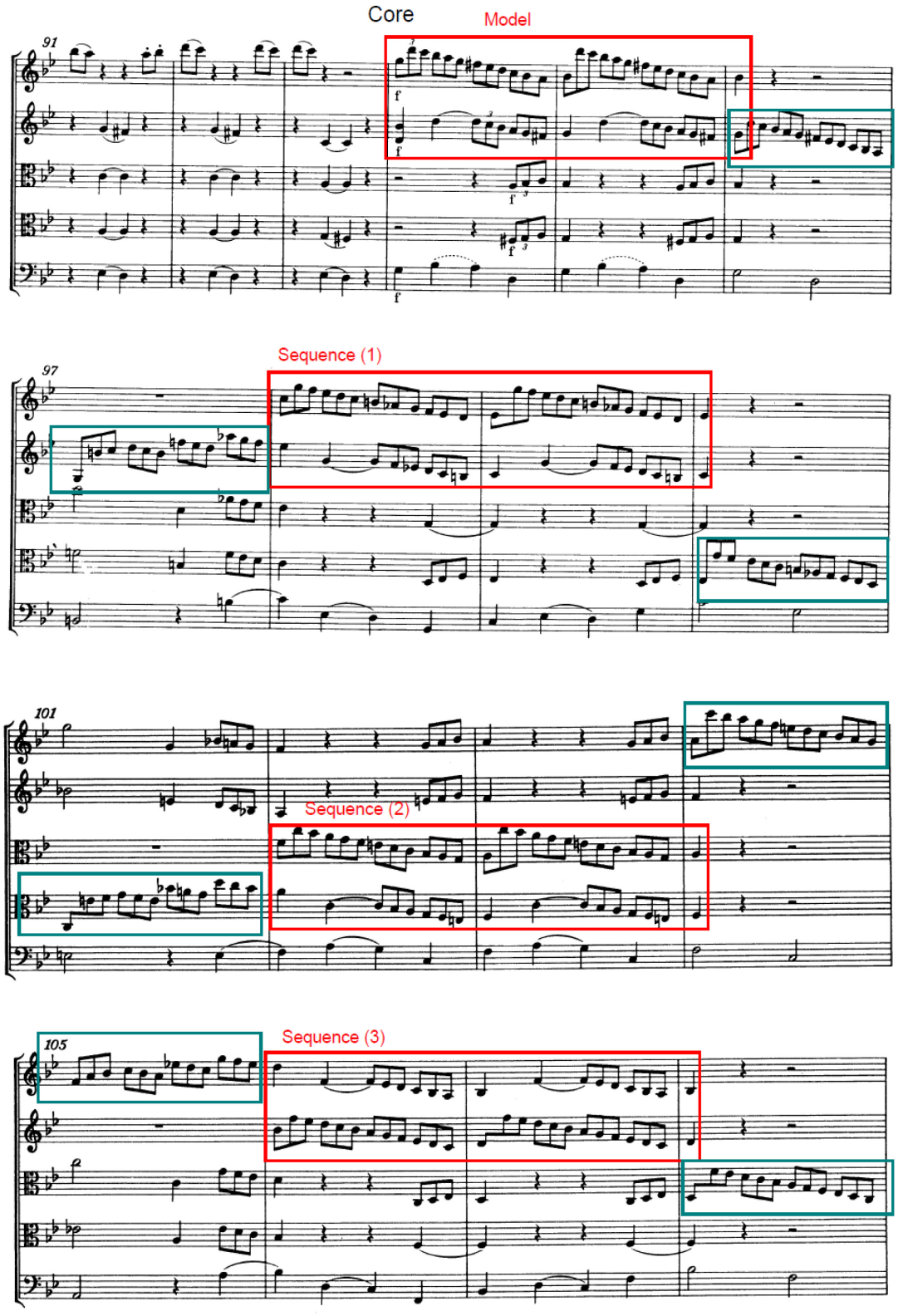



**Example 3.4 Mozart, Quintet in B-flat K.174, I, mm. 54–90**

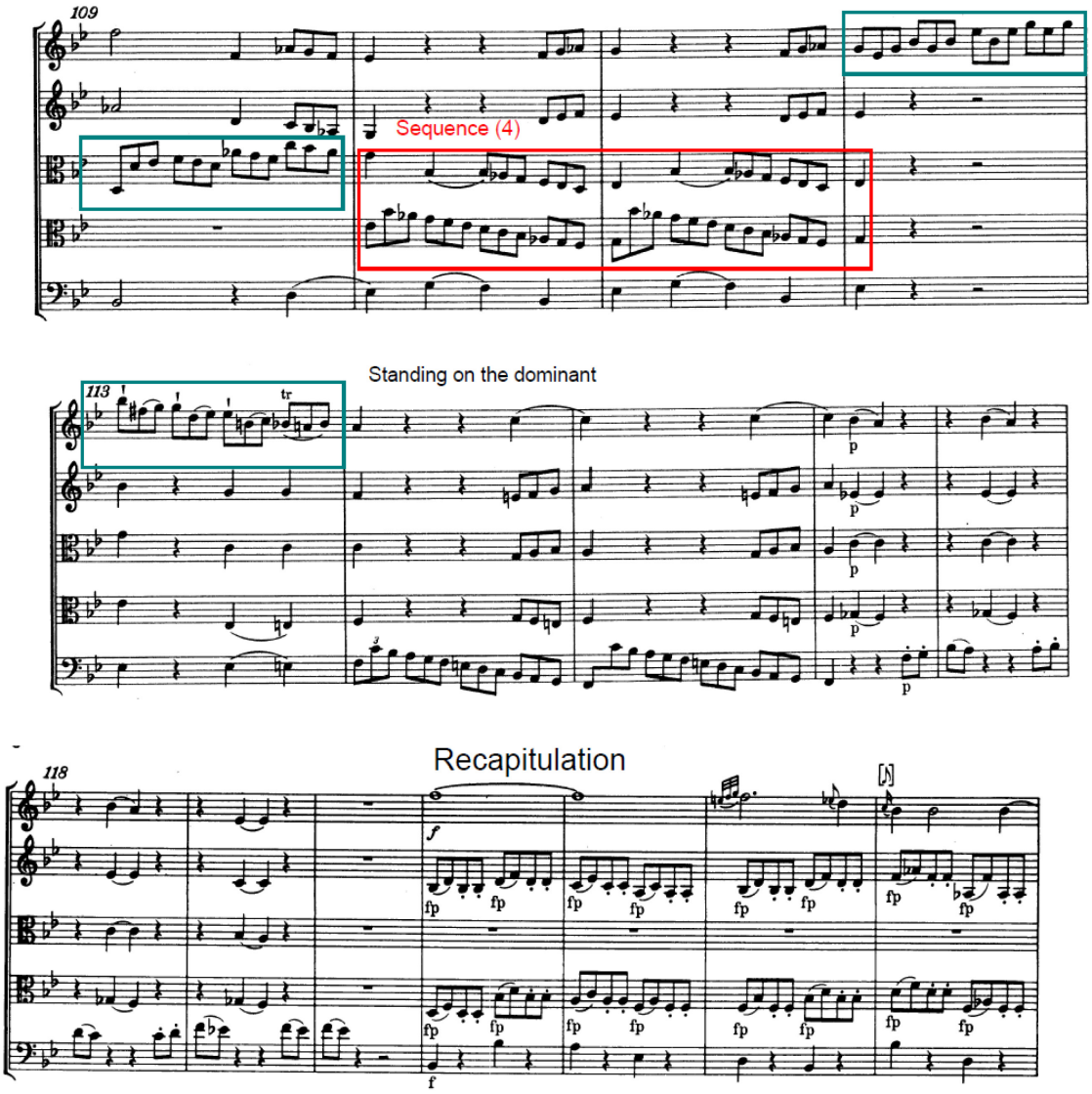



**Example 3.4 Mozart, Quintet in B-flat K.174, I, mm. 54–90 (continued)**

The development section is by all measures the most texturally complex section in sonata movements. In this model-sequence type core, the model itself is imitative. Each iteration of the sequence is played by a different combination two different instruments: in the model 1+2 and then 2 (mm. 94–97), in the first sequence 1+2 and then 4 (mm. 98–101), in the second sequence 3+4 and then 1 (mm. 102–105), in the third sequence 2+1 and then 3 (mm. 106–109), and lastly 4+3 followed by 1 (mm. 110–113). Example 3.5 shows the relevant extract (mm. 91-124).




**Example 3.5 Mozart, Quintet in B-flat K.174, I, mm. 91–124**




**Example 3.5 Mozart, Quintet in B-flat K.174, I, mm. 91–124 (continued)**

One point requires clarification: while Figure 3.1 suggests that the textural "high point" is typically at the retransition, this is not the case in K.174. This is for the simple reason that there is no retransition in K.174. Harmonically, the core proper ends on the dominant.[33]

In K.174, the recapitulation does not present any new textures when compared to the exposition. It is basically a duplication of the latter in this sense. Thus, for reasons of space, I will

[33] Chapter 1 presents my own view of developmental retransitions, especially in regards to standing on the dominant passages.

not give a detailed analysis of the rest of the movement. In several cases in the quintets (first movements of K.174, K.516, K.614) the coda is an additional section surrounded by double-bars. One may wonder why it is that in the coda there is such intensive contrapuntal activity, after all harmonic tensions have been solved. It is worth considering this phenomenon in historical context, especially in the light of Beethoven's later expansions of the end of movements (and of final movements). It is only speculation, but perhaps this phenomenon gives a hint of the formal revolution that Mozart might have undertaken, had he only lived longer. In this view, it is plausible to think of Mozart as a precursor of the revolutions to be done later by Beethoven. (The following chapter will elaborate further about this "shift of weight" towards the end of movements and pieces in Mozart's oeuvre.)

The first movement of K.515 is very interesting, because it shows that the textural curve described above is not related to the textural starting point of the development. In K.515 the core starts with a fugue (mm. 170–184). A fugue clearly represents a high level of textural activity and complexity. Nevertheless, Mozart manages to surmount that level of textural complexity in the retransition (m. 185) with a double canon in four voices and free counterpoint in the fifth. As Charles Rosen points out, even though the development in discussion is relatively short, due to its richness and textural complexity it does not come across as short at all.[34]

The Finale of K.593 is an outlier, both in its thoroughgoing use of imitative textures, and also in the large scale textural organization of the movement. As suggested, the most texturally complex area is usually in the development section, and imitative textures are rarely used in the exposition. In this movement, however, S is clearly imitative. In order to make the development more texturally complex, Mozart adds at the end of the traditional core (after the last sequence of the model, m. 132) another fugue. In the recapitulation Mozart takes the counterpoint one step higher, with the triumphant section that includes a five-part invertible counterpoint of all the

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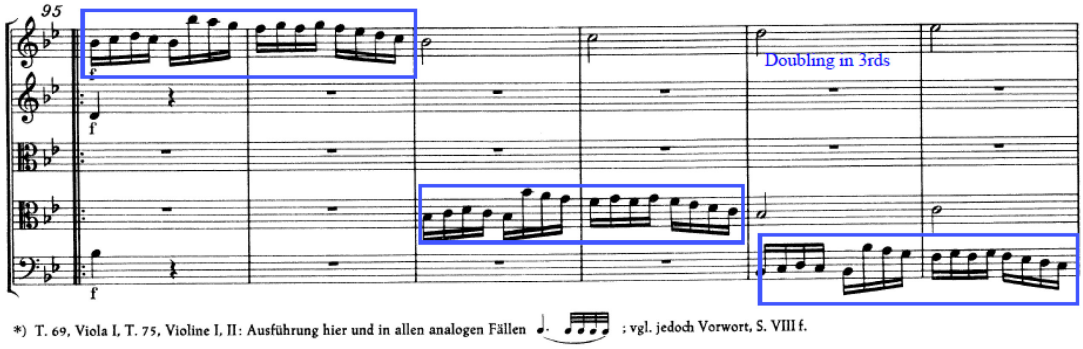
[34] Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven*, second edition (New York and London: W.W. Norton & Company, 1998), 272.

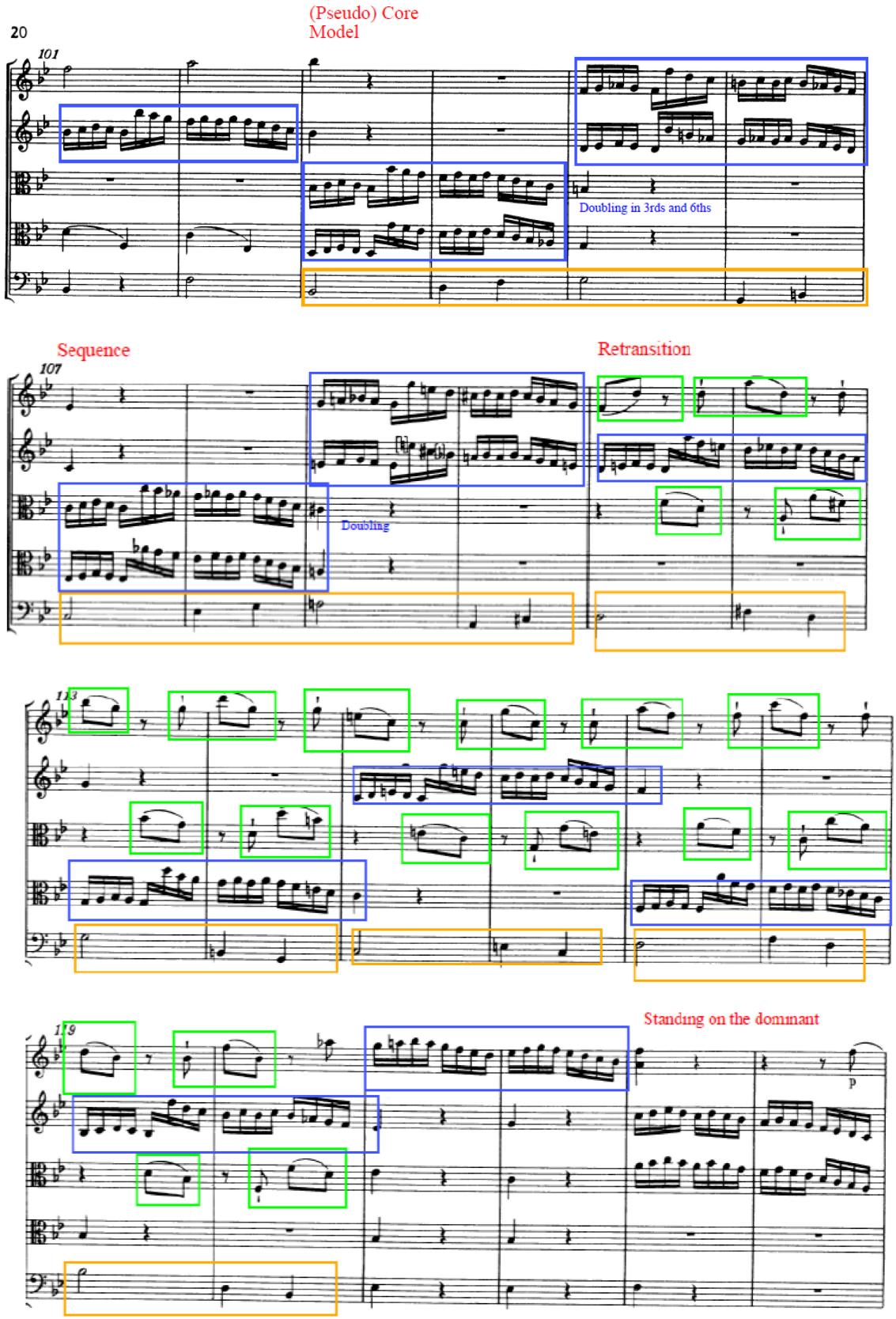
expositional themes combined with the developmental fugue theme (mm. 197–218). Thus the overall textural structure is not a curve but an arrow.

**The Development of K.174, Finale**

The pre-core starts with two measures of 1 alone and proceeds to third species counterpoint, featuring 1+4 (m. 97), and then 1+4+5 (m. 99). The latter addition (m. 99) to the texture is a marker of the increasing complexity of the texture. In mm. 101–102, 4 plays quarter-notes, which serve as a textural "crescendo" into the beginning of the (to be eventually understood as pseudo-) core in m. 103. As one may learn from Figure 3.1, the (pseudo-) core generally features a higher level of textural activity than the pre-core. This is also the case here: the two-measure pattern of sixteenth notes is doubled in thirds and sixths, while keeping the responsorial texture. The cello plays an independent bass line. The increase in density can be described as one step up in the texture. The next step up occurs in the retransition, which starts in m. 111. Here, the two-measure dialogue between 4 and 2 continues, although now without doubling from other voices. Instead, 1 and 3 embark on a dialogue of their own; their pattern is shorter: one measure only. The cello plays a relatively similar pattern to the one which had been played earlier in the (pseudo-) core.




**Example 3.6 Mozart, Quintet in B-flat K.174, I, mm. 95–124**

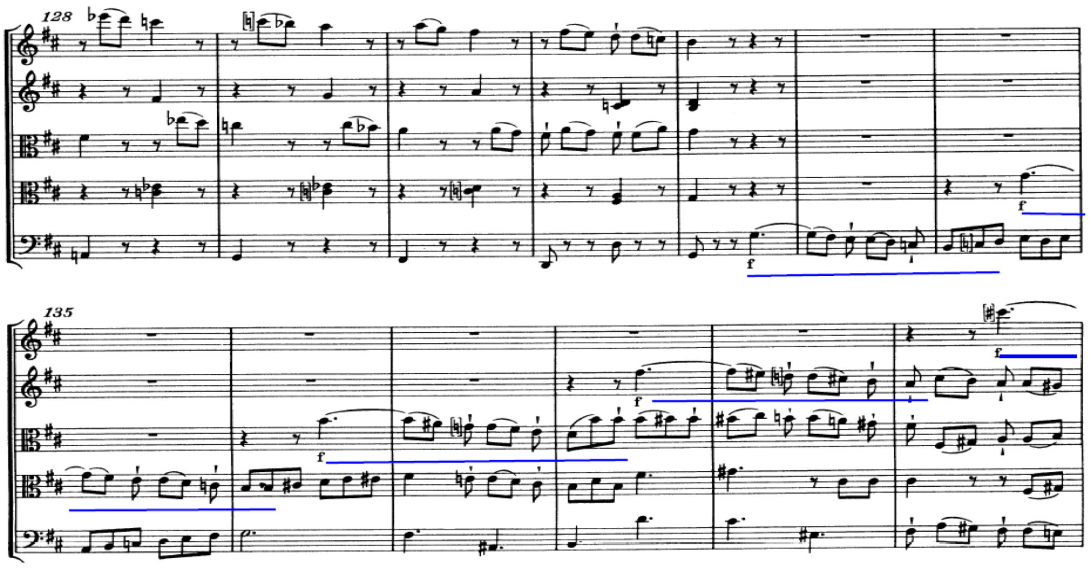



**Example 3.6 Mozart, Quintet in B-flat K.174, I, mm. 95–124 (continued)**

Returning to the finale of K.174, which was offered here as an example of a standard developmental textural curve, it is worth mentioning that in at least one textural aspect, this movement as a whole represents a deviation from the norm. In all the movements under consideration (the outer movements in the string quintets), the development has a significant section of imitative texture. It is rare to find such a section within an exposition. Whenever imitation appears at the exposition, it usually occupies a relatively short section of the TR (for example in the first movement of K.614, mm. 20–27). In the finale of K.174 the development is based on the TR material, which employed an imitative texture already in its initial, expositional appearance.

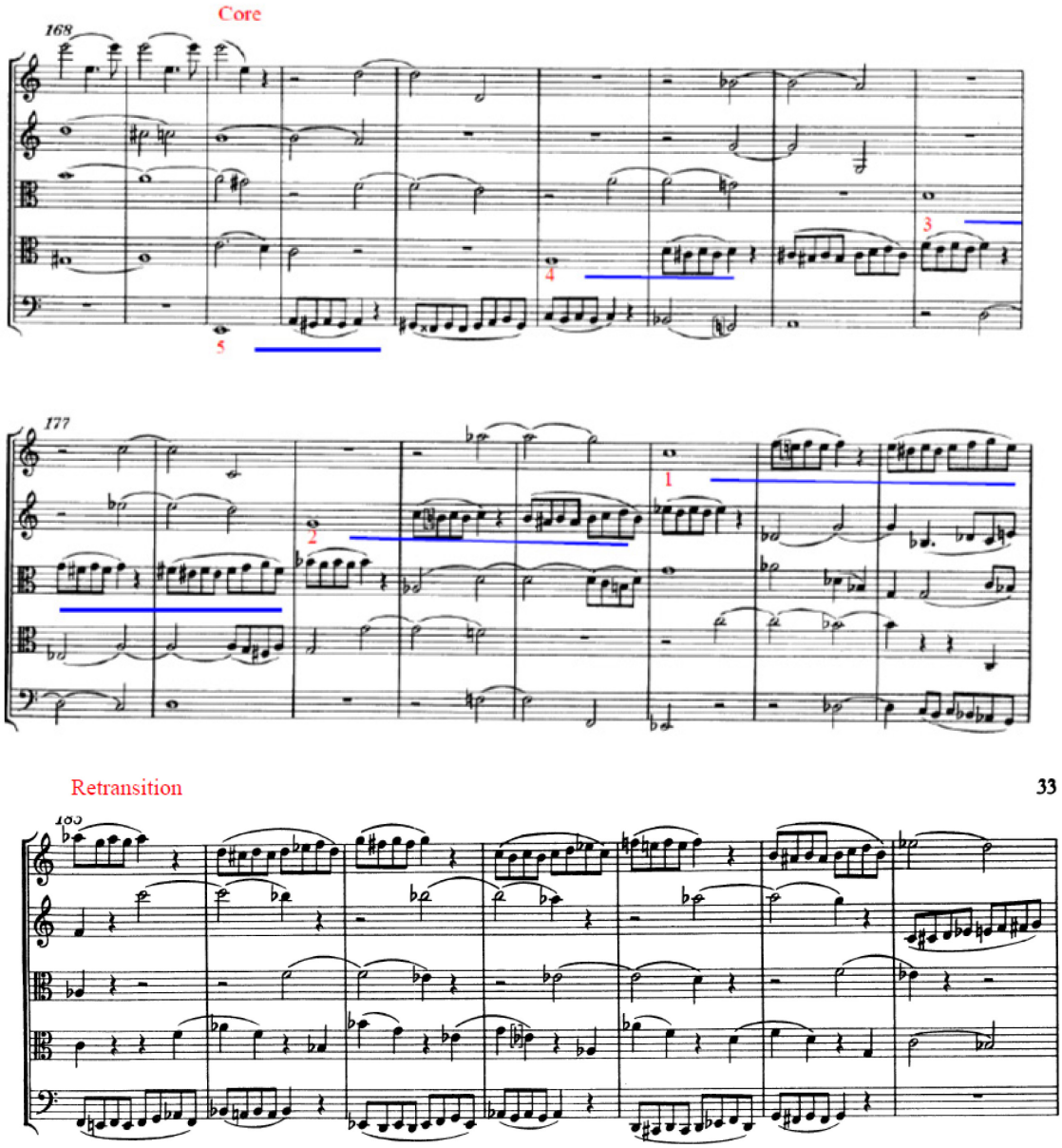
**Texture and Form**

In several instances, especially in imitative textures (such as stretto passages, but not only), it seems that the thematic choice—at least as far as the number of entrances—is influenced (if not defined) by the number of instruments in the group. Typically, the cello presents a motif which is imitated by the other parts in ascending order 4-3-2-1. See Example 3.7 below, mm. 132–140.



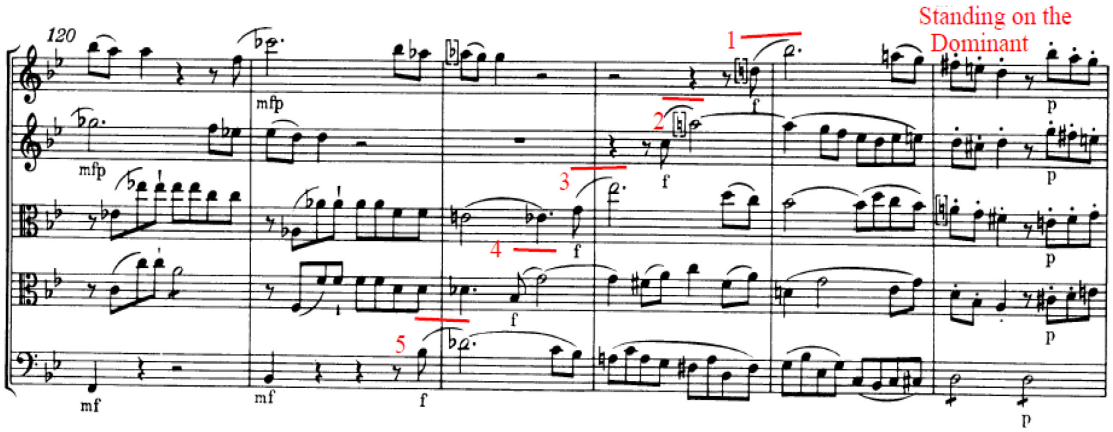

**Example 3.7 Mozart, Quintet in D K.593, IV, mm. 128–140**

Like the Finale of K.593, in the first movement of K.515 the fugal core starts with the cello playing the model and the other four instruments play sequences in ascending order, creating an overall textural shape of 5-4-3-2-1 (Example 3.8). In both instances, when all instruments finish playing the melody, a new section starts—the retransition. This way the ensemble has a double role in organizing the form: it defines both the number of entrances and the beginning of the new section of the retransition.




**Example 3.8 Mozart, Quintet in C K.515, I, mm. 168–191**

In both of the cases described above, imitation among all the voices, in ascending order, marks the end of the core and the *beginning* of the retransition. In the first movement of K.516, the ascending imitation is also a marker for the ending of a section. This time, proportionally abbreviated (proportionally, because the retransition normally occupies less space than the core), this stretto marks the end of the retransition before the standing-on-the-dominant starts (Example 3.9).




**Example 3.9 Mozart, Quintet in G minor, K.516, I, mm. 120–125**

One might wonder if the reasons for this phenomenon are socially oriented: is this done so each amateur musician, each guest nobleman at another nobleman's living room can have his "solo"? W. Dean Sutcliffe offers a discussion of what he terms "sociability" of the third movement of Haydn's string quartet Op. 33/2.[35] His analysis demonstrates how the textural process throughout the movement—which starts with just the viola and cello playing (a very exclusive, asocial disposition)—is related to other formal and rhetorical processes. The "sociability" approach that he takes is that in order to bring the movement to a proper finish (or "reconciliation"), the original theme has to be played together by all the members of the group. The "story" of the movement

[35] Sutcliffe, W. Dean, "Before the Joke: Texture and Sociability in the Largo of Haydn's Op. 33, No. 2 Journal of Musicological Research, 28:2-3 (2009), 92-118.

according to Sutcliffe is therefore the way in which the social tensions are balanced and tempered.

Adopting some of Sutcliffe's ideas and coming back to the quintets by Mozart, one may claim that in order to realize, or execute the great formal processes, a "group effort" is required.

## Quintet or Sextet?

Konrad Kuester points out a very interesting textural phenomenon in regards to the string quintets by Mozart. He considers K.174 as an "enriched trio-sonata," which includes two (doubled) treble parts and a bass part.[36] In regards to the other quintets, he suggests that the quintet as an ensemble is a whole which is greater than the sum of its parts. How so? In effect, the string quintet allows an inner division into two sections of three: the two violins + the first viola, and the two violas + the cello. In addition to its more conventional function as an inner voice, then, the first viola can also assume a double role, one involving holding the bass line and the other playing the treble line. Manfred Hermann Schmid calls this textural phenomenon the "double trio", and he traces its origins to the five-voice string ensemble writing found in Monteverdi's *Orfeo*.[37] There too, in some cases where the members of the ensemble receive solo roles, the group divides into 2+1, 2+1.

In K. 516, there are two instances of what we might call the "twice three" phenomenon: (1) the beginning of the piece, where in the first eight measures 3 serves as the bass line and in the following eight measures it serves as melody; (2) the retransition section of the last movement, mm. 191–199, which features invertible counterpoint at the level of the octave, with 5 taking the role of 1. This is a variation on the "twice three" idea, in which 3 plays the same role

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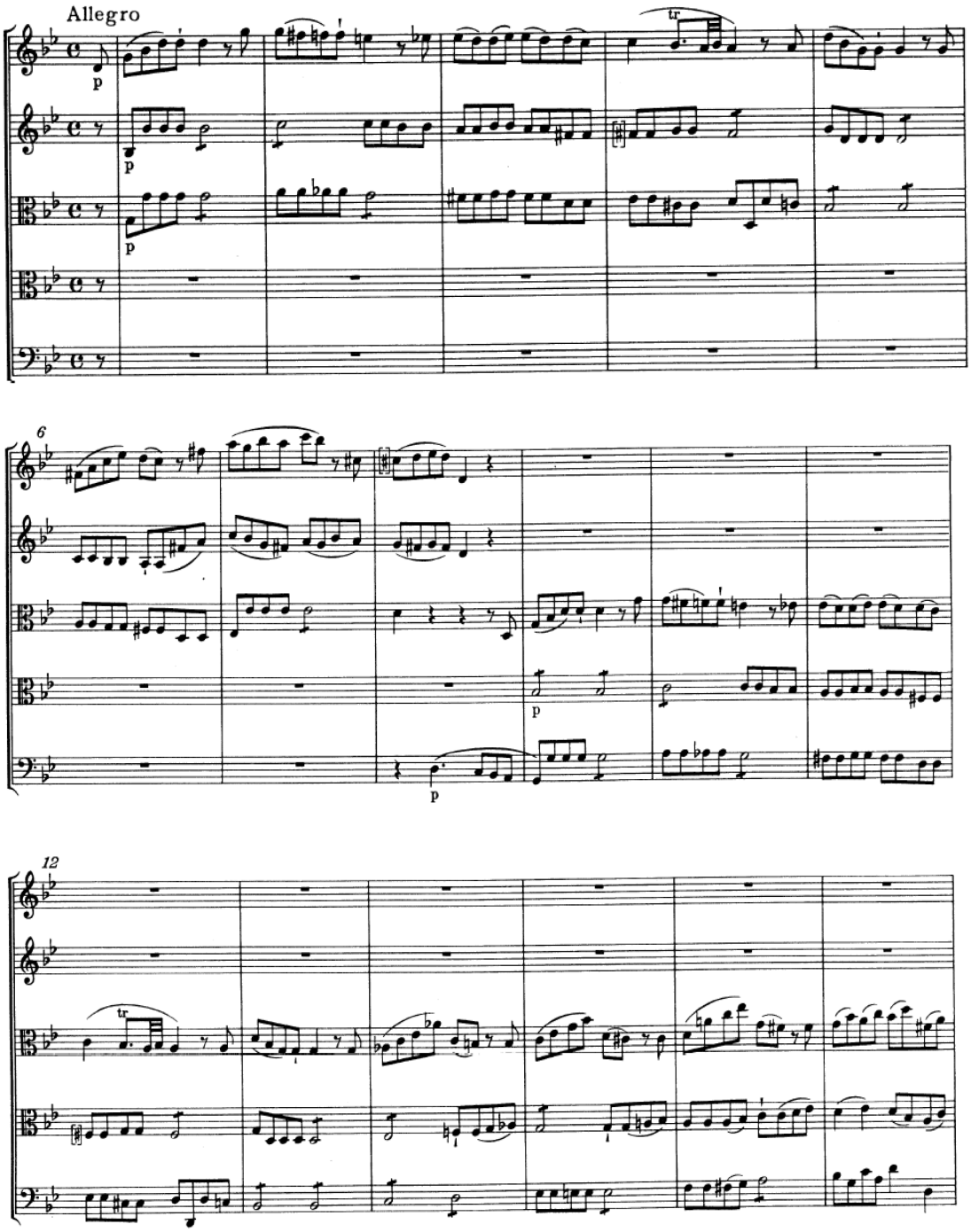
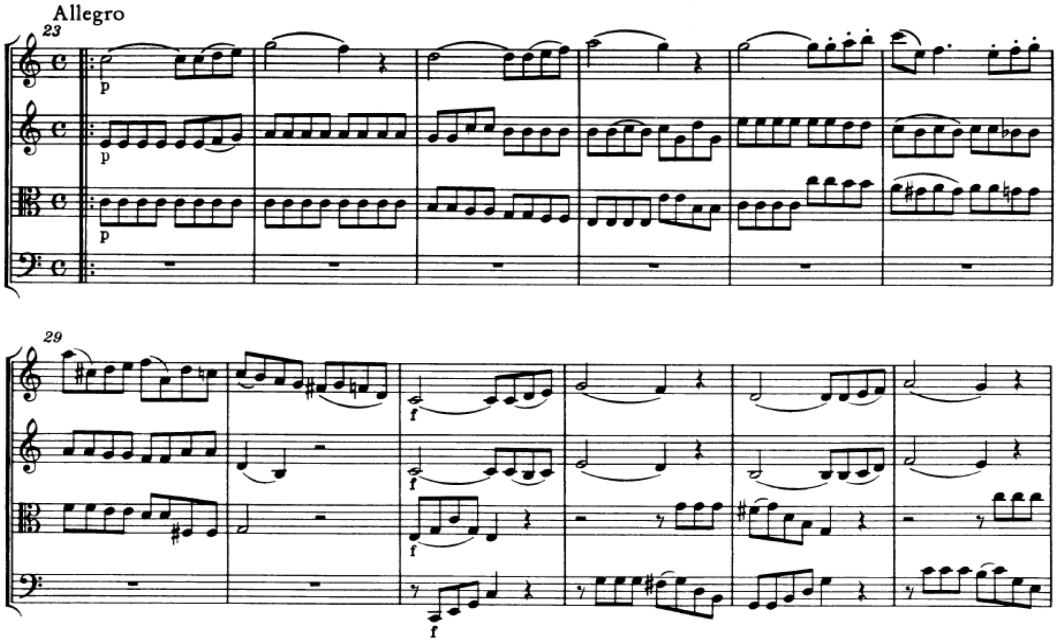
[36] Konrad Kuester, *Mozart: A Musical Biography*, translated by Mary Whittall (Oxford: Clarendon Press, 1990) , 250–258.
[37] W.A. Mozart, *Complete String Quintets*, edited by Ernst Hess and Ernst Fritz Schmid (Kassel: Bärenreiter Edition, 2008), XXV.

(mm. 191–195 are similar in function to mm. 195–199), 4 takes the role of 2, and 5 substitutes 1. Let us focus on the first example, since it applies to a greater number of cases in the quintets group. As shown in Example 3.10, both 1 and 3 play long accompanied melodies in the exposition, the cello plays only two short melodic segments, each two measures long, of transitional melodic material (mm. 26–27 and mm. 46–47). The second segment is unique in its complete solo setting. It is the first instance in both the quintet and the quartet literature of Mozart (excluding the opening of the "Dissonance" Quartet, K.465, in which the "solo" cello part is not a real melody of any sort) that the cello plays alone. This special moment in which the group pauses completely for four measures, and the melody is played completely solo—first by 1 then by 5—may be the inspiration (or otherwise, the setup) for the cello solo opening in the beginning of the pre-core (m. 97).

The opening of the Allegro of the "Dissonance" Quartet provides another insight about the "twice three" effect (See Example 3.11). From a textural point of view the opening of the quartet is similar to that of K.516. 1 plays the melody while 2 and 3 both play the accompaniment, 3 being the bass. The cello does not play until the melody is repeated an octave lower in m. 9. It is clear that except for the register change, Mozart was looking to vary the texture in comparison to the opening. In a quartet setting, the option of giving the lower melody to the viola would be impossible, because as a consequence the "inner voices" would have to be placed above it. Therefore, the only other option left is to have 1 play the same melody an octave lower, keeping the other voices beneath. This option is exhausted after four measures. In K.516 however, giving the melody to the viola is easily done, because the second viola gives the option of a true inner voice between the first viola and the cello.




**Example 3.10 Mozart, Quintet G minor, K.516, I, mm. 1–17**

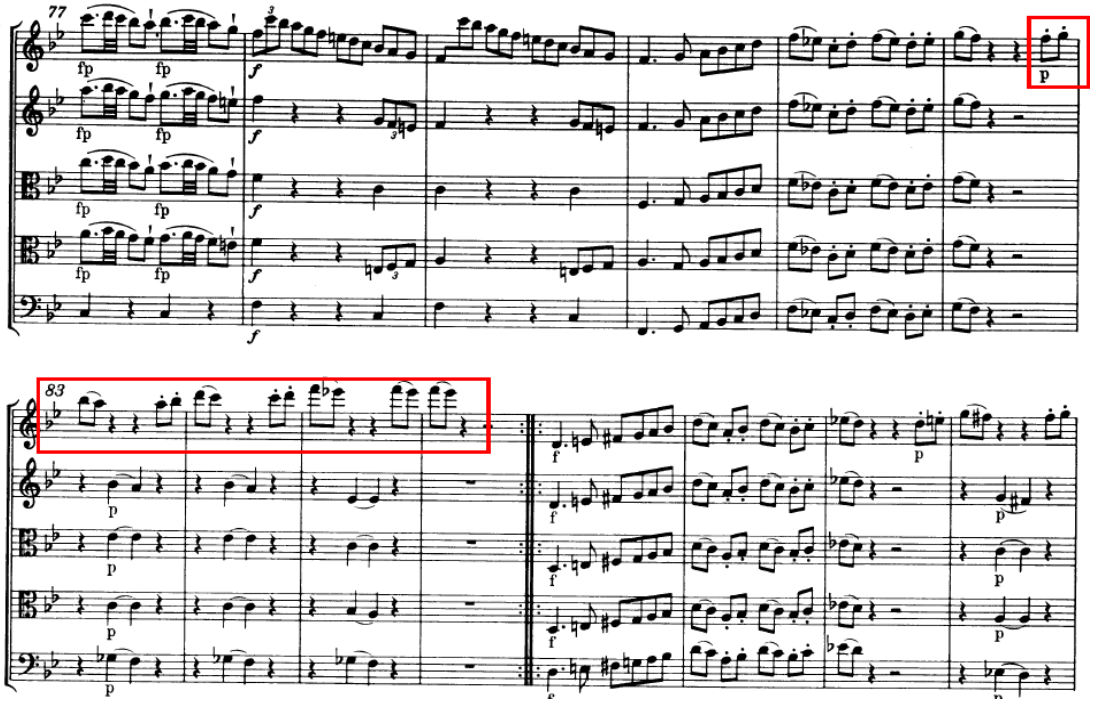



**Example 3.11 Mozart, Quartet in C, K.465, I, mm. 23–34**

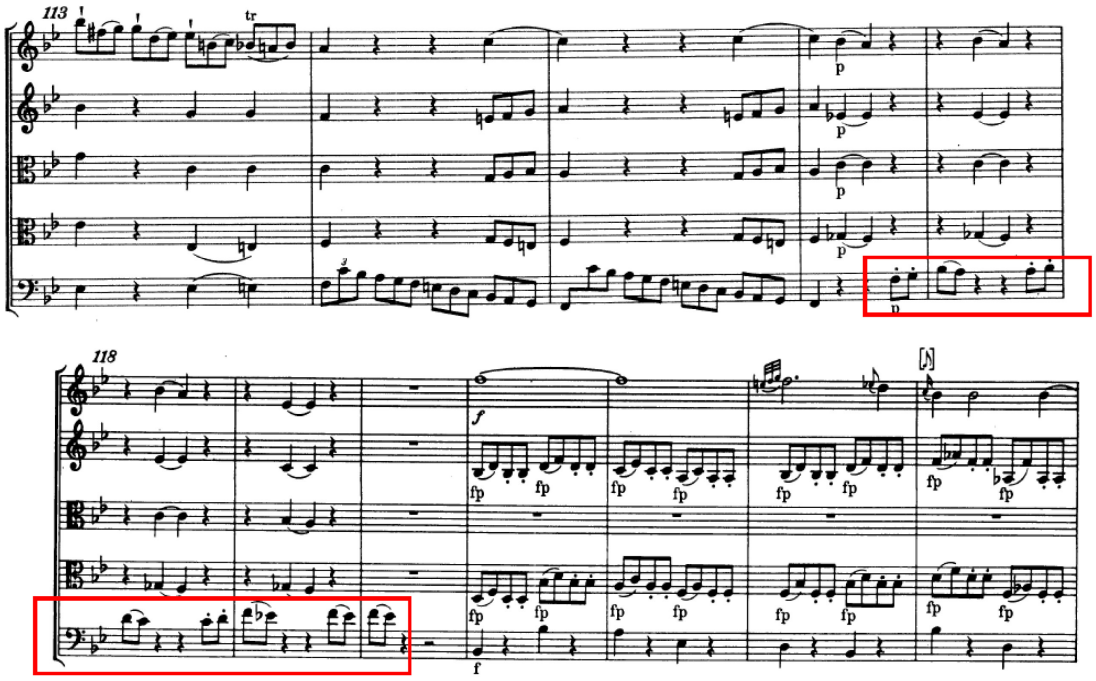
**The Cello Part**

Another interesting (and reasonable) claim made by Konrad Kuester is that the "emancipation" of the cello part from a purely bass function in the quintets happens only after the completion of the six "Haydn Quartets," in the quintet K.515.[38] The retransition of the development in K.174 is perhaps an early sign for this evolution of the cello part: this passage is a copy of the expositional retransition, with a small swap of rules, as the cello plays the melody alone and the first violin joins the other instruments in response (see Example 3.12 a and b). At the time, this must have made quite a striking and surprising effect.

[38] Kuester, *Mozart: A Musical Biography*, 250–258.



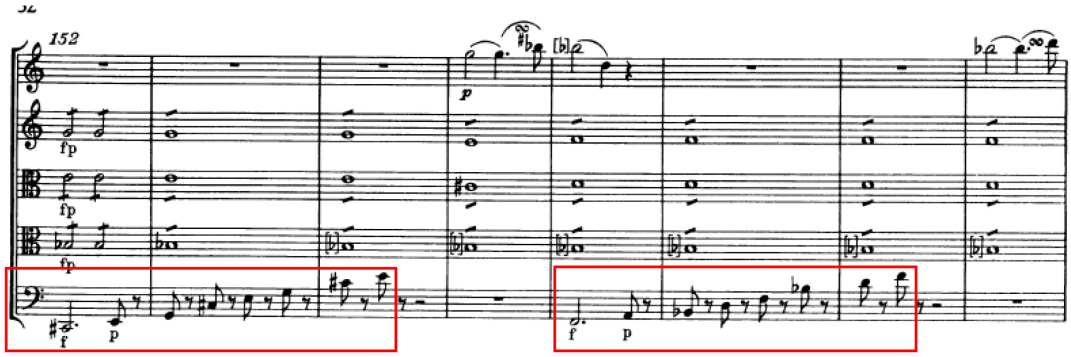
**Example 3.12a Mozart, Quintet in B-flat K.174,I, mm. 77–89**



**Example 3.12b Mozart, Quintet in B-flat K.174, I, mm. 113–126**

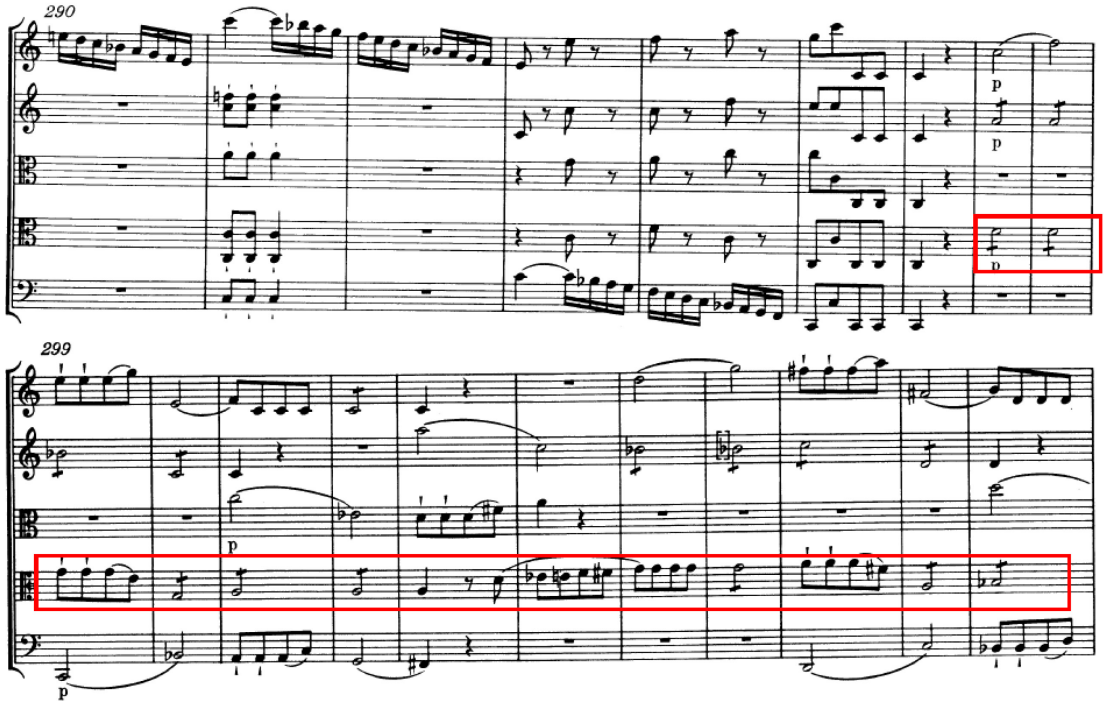
The example above is indeed an exception in this quintet, in which the role of the cello is almost exclusively that of a thoroughbass. The Quintet K.515, however, is completely different.

In the first movement, during the P, TR and pre-core sections, the cello is in dialogue with the first violin, sharing equally the role of the melody (Example 3.13 illustrates with a passage from the beginning of the development). This textural setting would be far more difficult to execute with just a string quartet: if one of the two inner voices plays the melody, there is only one instrument left (second violin) to fulfill the remaining textural tasks. In the quintet however, the thoroughbass part is substituted by the second viola, freeing the cello for its new role.




**Example 3.13 Mozart, Quintet in C K.515, I, mm. 152–159**

A similar phenomenon happens in the Finale of the same piece (K.515), in the core: the second viola plays the bass part while the cello imitates the melody of the first violin (Example 3.14). This is another example of the "advantages" of the string quintet over the string quartet: the addition of another "low-middle" voice, which can sometimes play the bass line, allows for a wider range of register and color for the melodic focus.




**Example 3.14 Mozart, Quintet C, K.515, IV, mm. 290–309**

In the first movement of K.516, in the core section, the cello gets a chance to play a complete sequence of the model (mm. 111–114). The relatively bigger cello part at this moment (in comparison to the exposition) brings up an interesting question regarding the developmental process: could "developing" simply stand for concentrating on (previously) auxiliary ideas from the exposition? Another view on this is that auxiliary ideas, unusual or esoteric in comparison to the main ideas, can only be accepted, or seriously dealt with in the sphere of the development section. Such is also the case with working out textural concepts.

Simon Keefe discusses the style of the "Prussian" Quartets K.575 in D major, K.589 in B flat major, and K.590 in F major, in regards to their historically ambivalent reception.[39] Quoting Otto Jahn and Eric Blom, he suggests that Mozart scholars often direct their remarks on the "Prussian" quartets towards Mozart's soloistic cello writing. Keefe adopts Jahn's assumption that the reason for which the cello part in the "Prussian" quartets is so soloistic was to please the

[39] Keefe, Simon P., *Mozart's Viennese Instrumental Music: A Study of Stylistic Re-Invention*, (Woodbridge: Boydell Press, 2007), 105–107.

dedicatee of these works, Friedrich Wilhelm II (the King of Prussia who commissioned the pieces, and who was a cellist himself).[40] This is a fair assumption, especially considering the circumstances of composition. Regardless of whether this is true or not, Mozart "Concertante" style of composition for the cello continued, and to a great extent to the ensuing string quintet, K.593, which was not dedicated to a cellist.[41] It is plausible to assume, then, that after Mozart had experimented using the higher octaves of the cello in the "Prussian" quartets, he was interested to incorporate some of his quartet concepts (of the cello as a solo, melodic "lead" instrument) into the composition of the quintets. The addition of the second viola did not just free the first viola to play the melody (as opposed to playing an inner, hidden voice) but also opened great possibilities for the cello. In this sense, the last two quintets by Mozart may be regarded as *cello quintets* as much as they are regarded as *viola quintets*.

While the development sections of K.593 and of the opening movement of K.614 do not have a very soloistic part for the cello, it would be simply unfair to disregard these two pieces as major expansions of the cello part. In the opening Larghetto of K.593 the cello, unaccompanied, is set in responsorial texture against all the other instruments, and does not join hands with them until m. 16 (Example 3.15). This is obviously a new, unprecedented use of the cello by Mozart. Mozart seems to have liked this texture in particular, as he used it again soon in the second part of the trio in the third movement.

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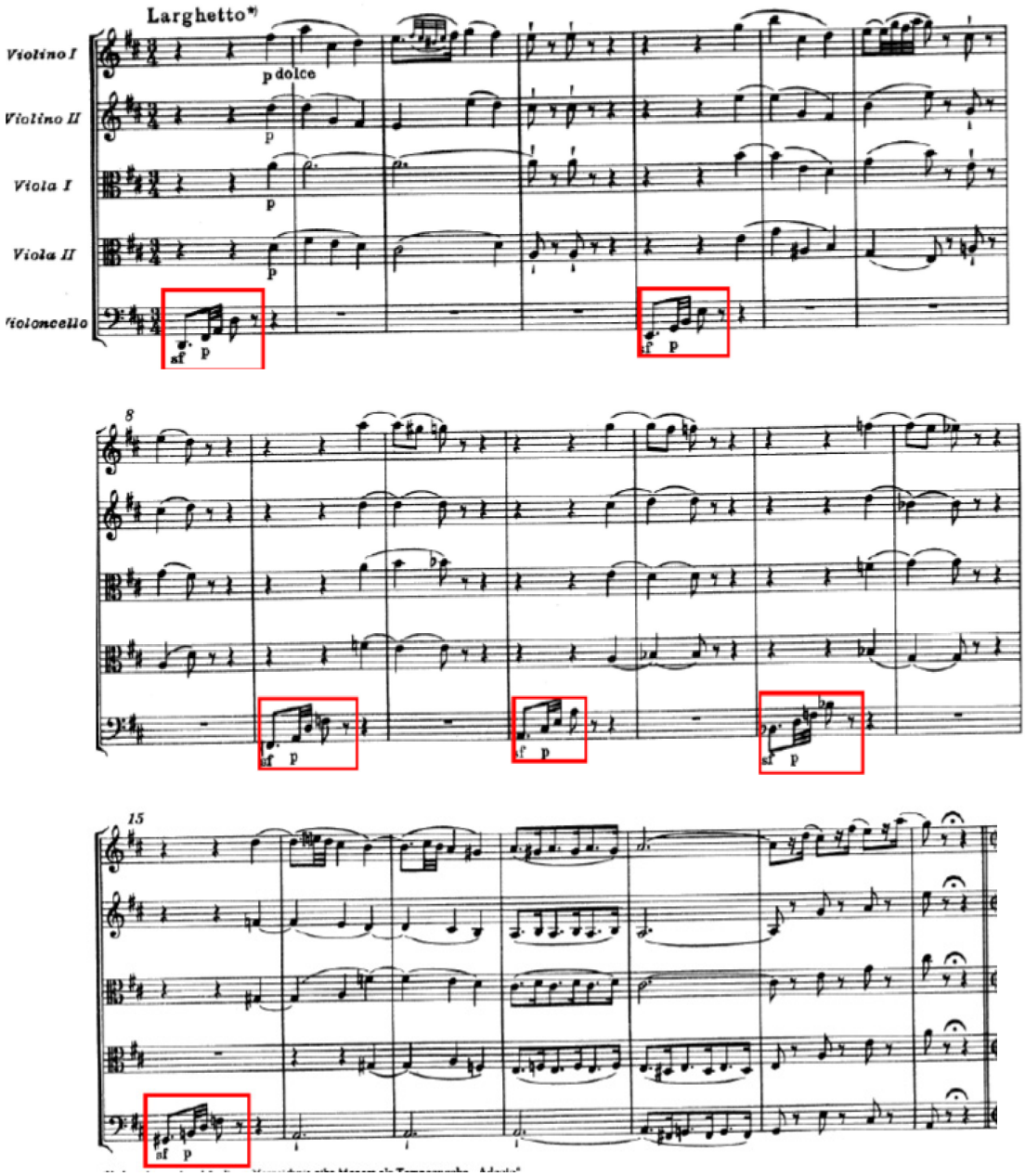
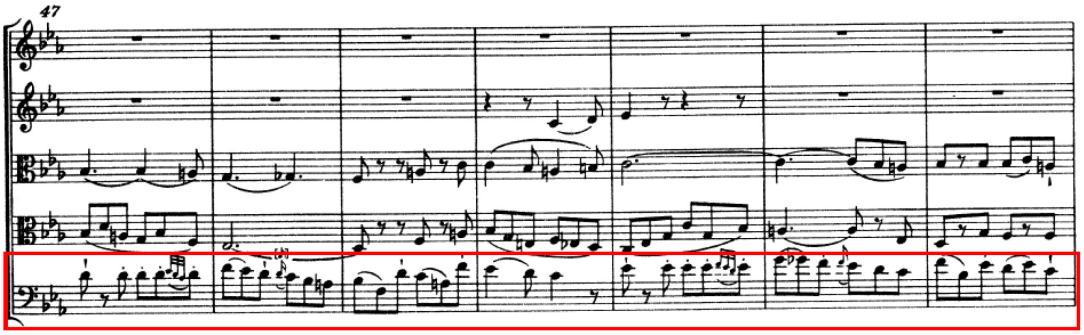
[40] Ibid, 107.
[41] Manfred Hermann Schmid, quoting Ernst Fritz Schmid, suggests that the "Amatore Ongarese" dedicatee in Artaria's first edition of the piece was Johann Tost, who was a violist himself and a dedicatee of some of Haydn's string quartets; W.A. Mozart, *Complete String Quintets*, XXIV.




**Example 3.15 Mozart, Quintet D, K.593, Introductory Larghetto**

It was only in the first movement of the last quintet, K.614, that Mozart wrote a whole melody for the cello, accompanied by the other four instruments. In the S theme, which is

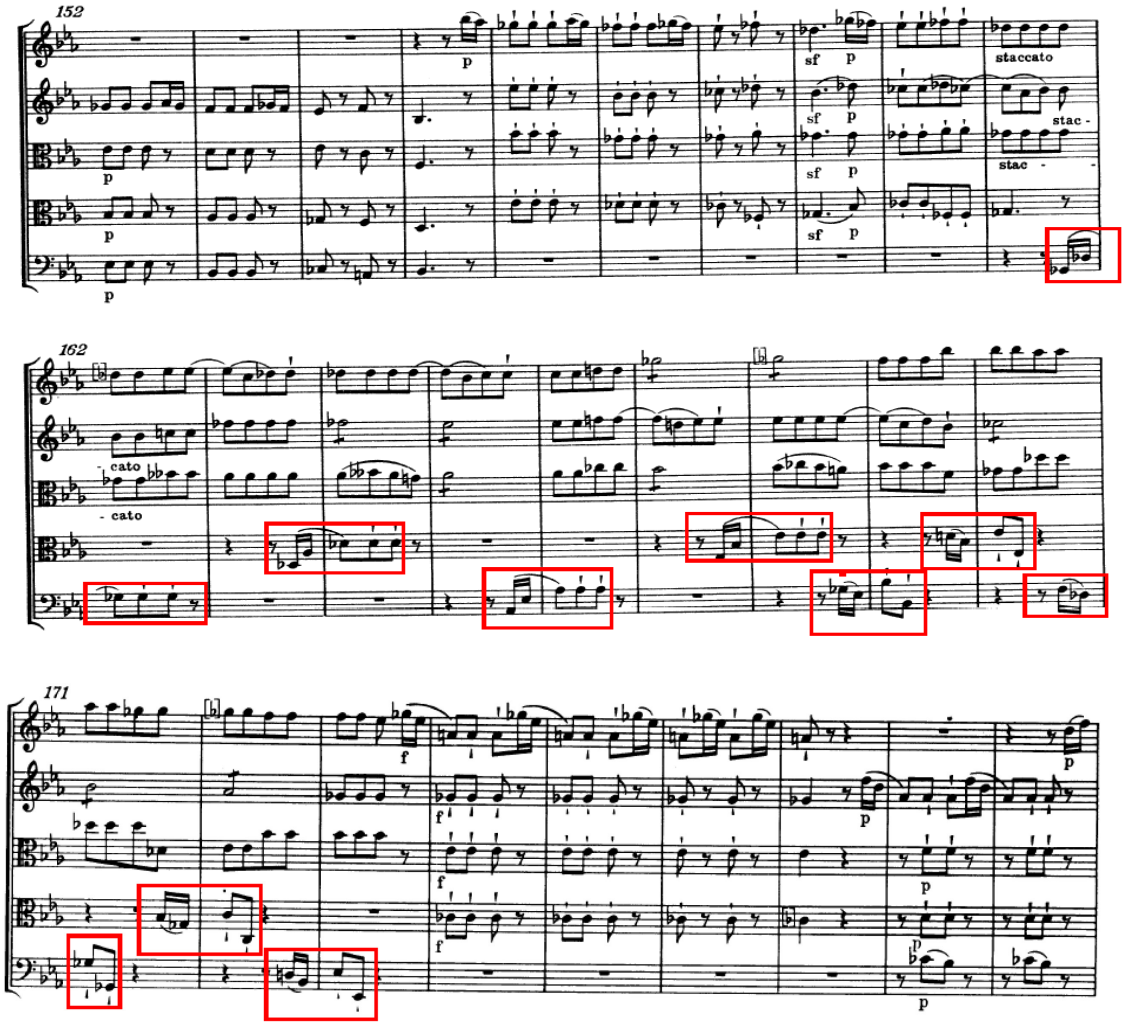
unusually built like a parallel period, the consequent phrase (mm. 47–54) is set for the cello, accompanied by the two violas.[42]




**Example 3.16 Mozart, Quintet E-flat, K.614, I, mm. 47–53**

The development section of K.614 finishes with a large section of thirty measures (mm. 152–181) which sounds at first like a minor mode recapitulation of P. It turns out to be an expanded retransition section. As seen in Example 3.17, in the middle of this retransition (mm. 161–173), for the first time in his quintet works, Mozart creates an imitative dialogue between the second viola and the cello. This is another example of the wider possibilities and textural advantages which the quintet has over the string quartet.

[42] A similar textural phenomenon has been discussed earlier, in the finale of K.516.




**Example 3.17 Mozart, Quintet E-flat, K.614, IV, mm. 152–178**

**Summary**

Let us now return to the research questions presented in the introduction of this chapter. The addition of one viola allows for a great textural variety in comparison to the string quartet. Moreover, not only does the first viola receives an additional, respected role as a legitimate tenor soloist in the group, but the cello is also freed from its chains as the constant bass line, often playing main lines and countermelodies.

The "double trio" effect, unique to the genre of the quintet, is a prominent technique for "discourse" and for social interaction in the group. Following Sutcliffe, it has been suggested that

imitative textures (stretti in particular) which are placed in crucial points in the form, carry also an extra-musical ideology of sociability.

# Chapter Four: The Finale of the Quintet in D major, K.593

**Introduction**

The previous chapters were each dedicated to one compositional aspect of the development sections in the outer movements of the quintets group. While other pieces by Mozart—such as string quartets—were considered as well, the center of this dissertation remains the quintets. To conclude this dissertation, I will focus on one complete movement, and by doing so, I will demonstrate the concepts offered earlier. The analysis of the movement as a whole (as opposed to just analyzing the development section) is necessary in order to fully understand the context of the development within the complete form.

The reason for choosing the finale of K.593 for detailed analysis is first and foremost because it is one of the most interesting and innovative movements in the whole quintets group. Additionally, its unique shape includes features of both sonata-allegro and sonata-rondo forms, and hence it is relevant to all the movements under discussion in this dissertation. Finally, on a broader scale, the structure of this movement is an example of the shift of weight within sonata movements, and within multi-movement pieces, from the first two large sections towards the recapitulation, and from the opening movement of a piece to its finale.[43]

The general form of the finale of K.593 is quite exceptional. Despite many alterations and deviations from the norm, it falls without doubt within the sonata-allegro spectrum. This discussion of form will combine illustrating the apparent sonata-allegro characteristics of each large section with a review of the unique aspects of this movement, the ones which challenge the strong sonata features. Both phases of this suggested analysis exemplify the conceptions which had been offered in the previous chapters, ones which are thoroughly based on the works of Hepokoski and Darcy, and of Caplin. As has been the case throughout this study, the labeling

[43] This phenomenon is generally associated with Beethoven's oeuvre.

system is also derived from the writings of these authors, combining Caplin's approach to the organization of development sections with Hepokoski and Darcy's approach to the outer sections.

**Formal Overview**

Table 4.1 offers a bird's-eye view of the Finale, showing its main sonata form features:

**Table 4.1 Finale of the Quintet K.593 as Sonata-Allegro, a Bird's Eye View**

Exposition

| Mm. | Section | Key | Remarks |
|---|---|---|---|
| 1–10 | P | D major (I) | small-ternary, exposition |
| 11–26 | P | E minor (ii) ⇨ G major (IV) ⇨ A major ($V_A$) | Small-ternary, contrasting middle |
| 27–36 | P | D major (I) | Recapitulation |
| 37– 49 | TR | D (I) ⇨ E(V/V) | |
| 50–54 | TR | E | Dominant lock followed by V: HC MC |
| 54–91 | S | A major (V) | |
| 92 | S/C | A major (V) | PAC A major, EEC |
| 92–100 | C | A major (V) | |

**Table 4.1 Finale of the Quintet K.593 as Sonata-Allegro, a Bird's Eye View (continued)**

Development

| | | | |
|---|---|---|---|
| 101–103 | Precore | B minor (V/ii) | |
| 104–115 | Core#1 | C major (VI/ii) | Model |
| 116–132 | Core#1 | D minor (i) ⇨ D major ($V_A$/IV) | Sequence |
| 133–142 | Core#2 | G(IV) ⇨ F# (V/vii) | Fugue |
| 142–151 | Retransition | F#(V/vii) ⇨ A (V) | |
| 152–170 | Standing on the dominant | A ($V_T$) ⇨ A($V_A$) | |

Recapitulation

| | | | |
|---|---|---|---|
| 171–183 | P | D major (I) | small ternary (no repeats), exposition |
| 184–197 | P | E minor (II) | Small ternary, contrasting middle |
| 197–213 | P+S | D major | overlap: small ternary recap+ secondary theme |
| 214–236 | S | D major | |
| 237–266 | S | Bb (LVI) ⇨ A(V) | Interpolation, development model material |
| 267 | S/C | D major (I) | PAC in D major (ESC) |
| 267–end | C | D | |

The table above gives a clear idea of why and how this is a sonata-allegro movement: it has three large sections, the third being a tonic recapitulation of the first section; the first large section has two themes in two different tonal areas, a fifth apart, which are connected by a transitional section; the transition finishes with a break on the dominant chord of the second theme's key (what Hepokoski and Darcy call a "medial caesura"); the second theme leads to a PAC in the secondary key which represents the point of "Essential Expositional Closure"; and the exposition ends with a short closing section in the secondary key.

**Exposition**

P theme

The main theme (P) is arranged in a small-ternary structure. Caplin elaborates on this form type, mentioning that it has been a source for much theoretical debate. Some theorists favor "rounded binary" over "small ternary," observing that in many cases the two sections are similar in length thus creating symmetry, and so, a binary structure. More importantly, they stress the overall tonal process—of movement away from and eventually back to the home key—as projecting a bipartite structure. Caplin's own approach, which employs the term "small ternary," emphasizes the thematic and functional aspect of each section of the form, labeling them exposition (A), contrasting middle (B) and recapitulation (A').[44] Hepokoski and Darcy side with the "rounded binary" approach. They specifically label the opening theme of the finale of K.593 as such.[45] Nevertheless, I find Caplin's approach persuasive here, mostly for reasons of function. Grouping B and A' together as a homogeneous unit, would overlook, in my view, both the "homecoming" effect of A' as well as the contrasting effect of B. Despite the fact that in this particular instance B is thematically very similar to A, the supporting harmony (ii) creates an

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[44] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 71–72.
[45] James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 70–71.

obvious contrast to the surrounding A sections. Additionally, the G.P. in m. 19 which stops the eighth-notes flow, continuing into a three treble-voice texture, differentiates B from A'. Lastly, there is no symmetry of length between the two sides of the double bar: to the left of the double-bar there are ten measures and to its right there are twenty five measures. Even if one excludes the three first measures of the B part as being a transition, not belonging to either of the sections, there is still no case for symmetry, which might have supported a bipartite approach.

According to Caplin the opening theme of a sonata is typically the most stable, tight-knit section of the exposition. However, the opening theme of this particular movement is, in my view, much looser than it is tight-knit. Let us examine other aspects of the theme using "tight-knit/loose" parameters, as those terms are defined by Caplin:

1. **Grouping structure**. According to Caplin, "symmetries based exclusively on exponentials of two are more tightly knit than those based on three, five, and combinations of these two."[46] If one interprets the chromatic descent as having a pre-sentential function and the last measure (m. 10) as transition/post-sentential, then the grouping is 1+4+4+1. If one includes the first and the last measures in the sentential structure, then the grouping would be 5+5. Both of these interpretations present a symmetrical view of A. However, neither of them is based on exponentials of two, hence they are not completely tight-knit. In the B section (contrasting middle) the grouping is even more unusual, with three pre-sentential measures (mm. 11–14), five measures of presentation (mm. 14–18), a sudden G.P., and seven measures of continuation/cadential function (mm. 20–26), resulting in 3+5+1+7 phrase structure. A' (recapitulation) maintains the same grouping A has.
2. **Tonality**. A unit is most tight-knit if it begins and ends in the home key. From this perspective, only A' is tight-knit. A is modulating from I (D major) to V (A major). In the

[46] Caplin, *Classical Form*, 85.

other finales under discussion that have small-ternary P sections—K.515, K.516 and K.614—A is non-modulating. The modulating A of K.593 however, is not exceptional in Mozart's oeuvre: out of the four quartets in which the finale's P theme a small-ternary unit (K.428, K.465, K.589 and K.590), three—all but K.465—modulate and cadence on the dominant at the end of A.[47]

The B section of K.593 is quite unusual, as it starts on ii (E minor) and modulates through IV (G major) to $V_A$ (A major). Caplin also states that "in the simplest of cases, the B section is supported exclusively by dominant harmony (either literally or prolonged)."[48] Here, for the most part B is supported by pre-dominants (mostly ii but also an implied IV). This tonal organization may have origins earlier in the piece. Charles Rosen noticed the harmonic-thematic connection in the first movement between the Adagio and the beginning of the Allegro (see Figure 4.1):[49]

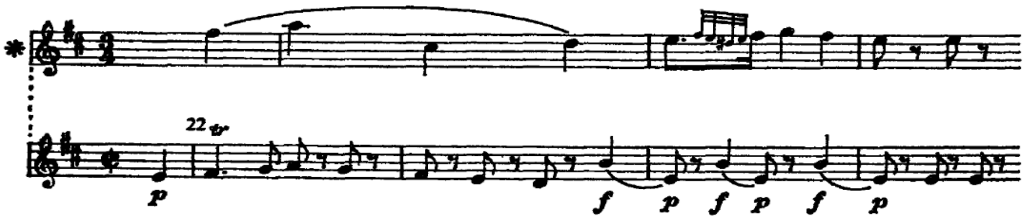


**Figure 4.1 Rosen's Reduction of the Introductory Adagio and Allegro of K.593**

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[47] In his discussion of "small binary" form, Caplin writes that "the small binary distinguishes itself from the rounded binary primarily through its lack of genuine recapitulation—the second part does not bring the opening basic idea in the home-key tonic" (*Classical Form*, 87). Caplin also claims that "the small binary emphasizes a sense of structural symmetry, by regularly appearing in its normal length of sixteen real measures (8+8)" (*idem*). The symmetry of P in the finale of K.590, as well as the altered recapitulation of the basic idea in A' may be sources of debate on whether that theme is a small ternary or small binary form. Even though the return of the theme in the recapitulation (A') is not identical to its initial appearance, the bass line and the return to the tonic articulate a tripartite structure, and so, despite the fact that the basic idea starts one step higher in the recapitulation, and despite the higher level of symmetry in this phrase, it is still regarded here as a recapitulation of a small-ternary, rather than a small-binary.

[48] Caplin, *Classical Form*, 75.

[49] Rosen, Charles, *The Classical Style*: *Haydn, Mozart , Beethoven/* Charles Rosen Exp. Edition, (New-York: W.W. Norton &Company, 1998) , 282.

It seems that in the piece as a whole, the tonic-supertonic motion has a special status, as we will explore later.

3. **The Zigzag theme**. Manfred Hermann Schmid of the Bärenreiter edition, suggests that it is likely that this chromatic opening was considered quite abnormal at the time, and perhaps not attractive for possible customers.[50] He bases his claim on the fact that at some point between 1791 and 1793 the finale was altered (not by Mozart) from its original version, turning the chromatic opening into a diatonic "zigzag" theme. The change had been applied throughout the whole movement. Even though Caplin's terminology was certainly not in use at the time of the alteration, it is plausible to claim that P felt quite too "loose" for an opening theme. One way of making the opening theme more tight-knit and so "easier to digest" (or "corporal" as Schmid put it) was to make the opening of it more harmonically stable.

It may be reasonable to suggest that while the movements under discussion—that is, the group of quintets—do not form a *cycle*, they do have some unique features that bind them together and distinguish them from other pieces by Mozart. One of these features has to do with the form of P in the final movements. Excluding K.174, which was written significantly earlier, all the other finales open with a small-ternary P. One could argue, however, that since the finales of the last two "Prussian Quartets" K.589 and K.590, which were written around the time of the last two quintets, also have a small-ternary P, this was a model that Mozart favored at the time and that it does not have as much relevance to the specific ensemble or genre of the string quintet.

**S theme**

Several themes in the pieces under discussion have different degrees of imitative textures. Expositional themes which have fugal texture, with successive, regular imitation in all the parts

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[50] W.A. Mozart, *Complete String Quintets*, edited by Ernst Hess and Ernst Fritz Schmid (Kassel: Bärenreiter Edition, 2008), XL–XLI.

are very rare in Mozart's chamber music for strings. In fact, there are no fugal themes in any of the movements in the quintets group, and in any of the sonata and sonata-rondo movements of the Mozart string quartets, except in two cases: (1) the S themes in the finale of K.593; and (2) the S theme in the finale of the string quartet K.387.[51]

A question might arise, as to why Mozart put together in the same exposition two such intriguing, non-conventional themes. The answer to this question may be found in the history of the piece. The quintet was published posthumously in 1793 by Artaria together with K.614. The published version is the one with alterations—the variant of the P theme in the finale, together with the octave changes in the cello part of the trio in the third movement—which were not of Mozart's hand. In the *Wiener Zeitung* advertisement for the new pieces, they were described as "*auf eine sehr thätige Aneiferung eines Musikfreundes*" [at the very urgent request of a music-lover]. K.593 was also described as "*composto per un amatore ongarese*" [composed for a Hungarian music-lover]. Johann Tost, a Hungarian cloth merchant and an amateur (though excellent) violist is suggested to be this anonymous music lover.[52] It is plausible to assume that one of the reasons for which Mozart made so many exceptional structural and tonal choices in the piece is that it was simply not originally intended for the general public.

From a thematic point of view, S is strikingly similar to S in another polyphonic, famous finale of the time, that of the "Jupiter" symphony (compare Example 4.1 a and b):

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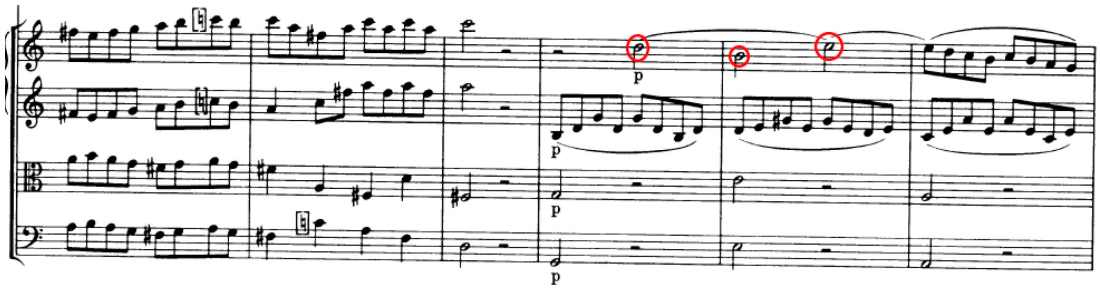
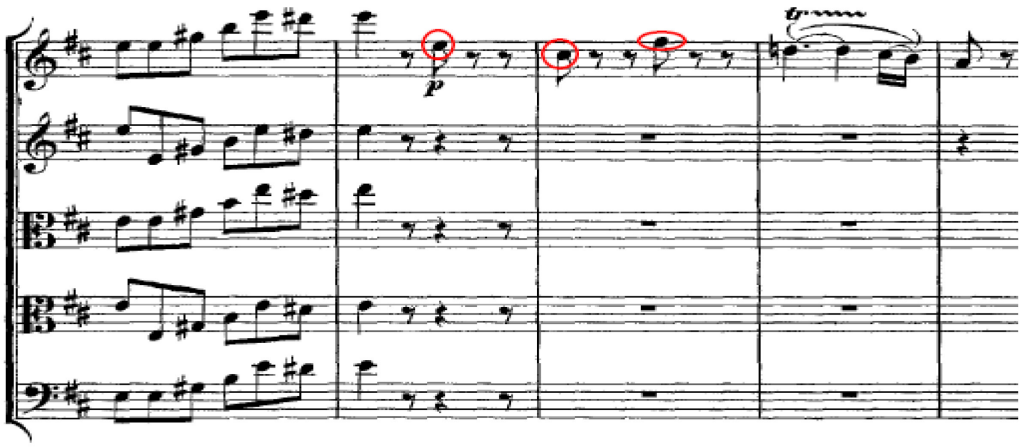
[51] The second theme in the finale of the quartet K.464 is somewhat fugal as well. This, however, is a different case, since the movement is monothematic, and there is no thematic contrast.
[52] Ernst Fritz Schmid, quoting Ernst Hess in W.A. Mozart, *Complete String Quintets*, XXIV.



**Example 4.1a Mozart, Symphony in C, K.551, IV, mm. 71–76**



**Example 4.1b Mozart, Quintet in D, K.593, IV, mm. 53–57**

The thematic resemblance is not the only connection between the finale of K.593 and that of the "Jupiter" symphony. Further discussion of the mutual characteristics of the two movements will be provided later on. In the previous chapter ("Texture") there is a short discussion on the relationship between instrumentation and form in the quintets. The S theme here is another example of how the group setup defines the form. Only after all the instruments from 1 to 5 have successively played the fugue/canon theme (mm. 54–69) does the stretto begin. In other words, the end of the theme as played by 5 is a milestone, or a road sign to proceed to the next section or formal function.

To complete the formal discussion of the exposition, it is worth mentioning that even though this is clearly a sonata-allegro exposition, both the small ternary structure of P, and the

repeat sign going back to TR (m. 37) make a significant reference to rondo form, simply because of the multiple repeats of the opening motif.

**Development Section**

Two core sections occupy the center of the development. The opening motif of P, inverted, is chosen for the pre-core and the first core. In previous chapters I have presented the concept of "tendency for development," that is, in simple words, to do with whether a theme or a motif goes through the process of modulation or sequence, or initiates such a process already in the exposition, thus exposing something of its transitional and/or modulatory "nature". Here, P certainly does that, as it starts off the TR section, and is inverted in C (m. 96). Another reason for this thematic choice might be the play or "trick," a possible compositional manipulation of the listener's expectation by Mozart: assuming that one plays all the repeats, the beginning of the development (m. 101) may sound like a third, additional repeat of m. 37. This way, the effect of the G.P in m. 103 is even more striking, as the listener is not sure whether this is the second or third repeats of the TR music (m. 37), or else a completely new section (or a Type 1/Type 2 sonata? A "blackout" the performers are having?).

One may wonder what may be the structural reason for including two core sections. My speculation is that a model-sequence type core would simply not be sufficient to produce a sense of textural peak (as happens most often in the development section) considering the unusual, fugal S. On the surface, it seems that the P material which was the natural choice for the development is not the most appropriate for a fugue. Hence, new material was needed. The relatively long standing on the dominant section (mm. 152–170) was clearly made so as to balance the length of the double core. Also, since the harmonic motion of ^4-^#4-^5 (^5 being A) is missing here (in other words, since the approach to the dominant is not by half step), a relatively long span of bars is required to stabilize A major as a local tonic, and to reactivate it later as a home key dominant. A shorter section would not have sufficed.

The harmonic choice of the beginning of this section—C major, VI/ii—has been previously discussed (chapter 2, pages 41-42). There are two unique aspects of the harmonic plan here:

1. A large-scale ^4-^5-^1 progression repeats twice:

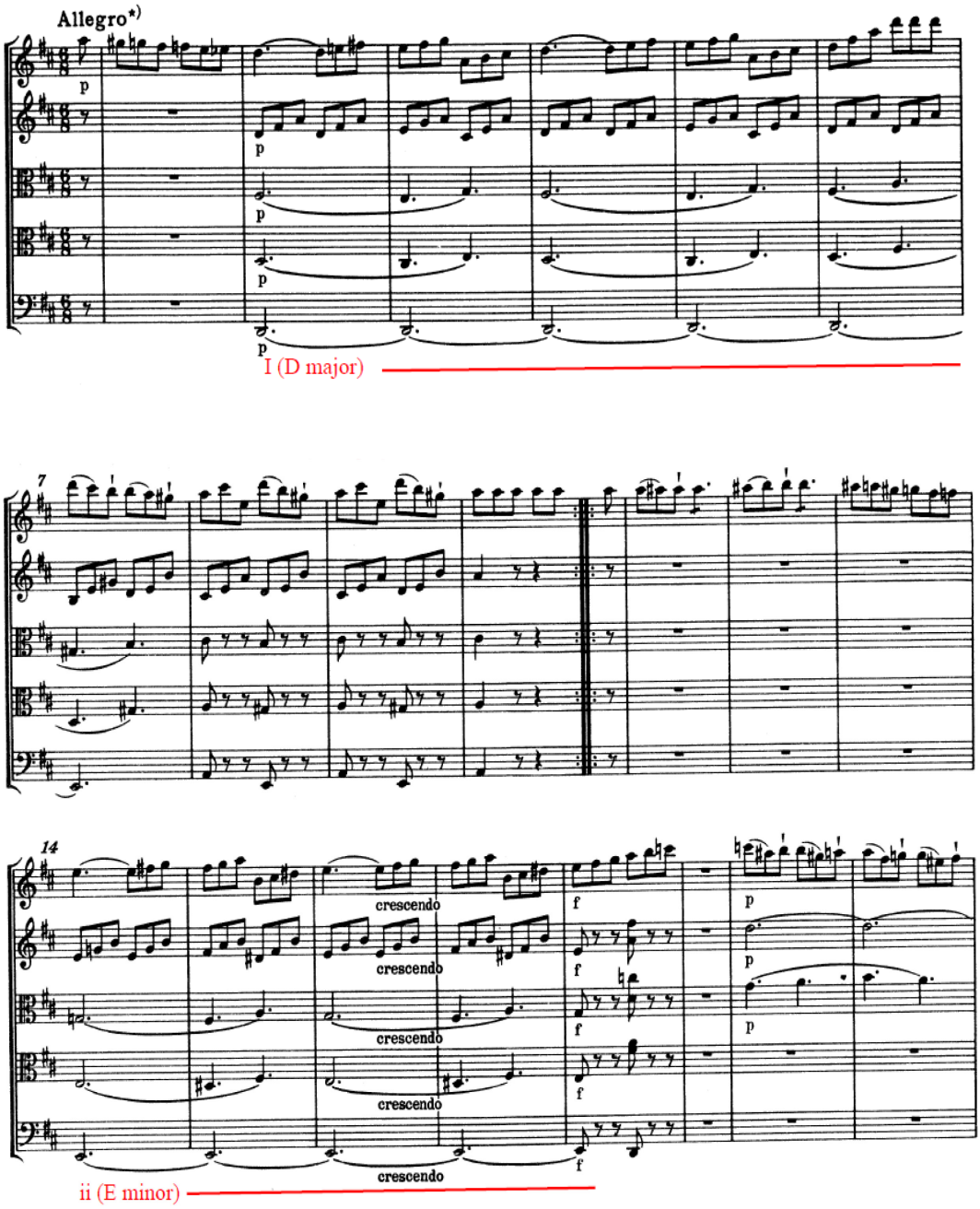
   (1) Between the beginning of the first core and the beginning of the second core (the fugue):

   C (m. 104) – D (m. 115) – G (m. 132)

   (2) Between the beginning of the second core and the recapitulation.

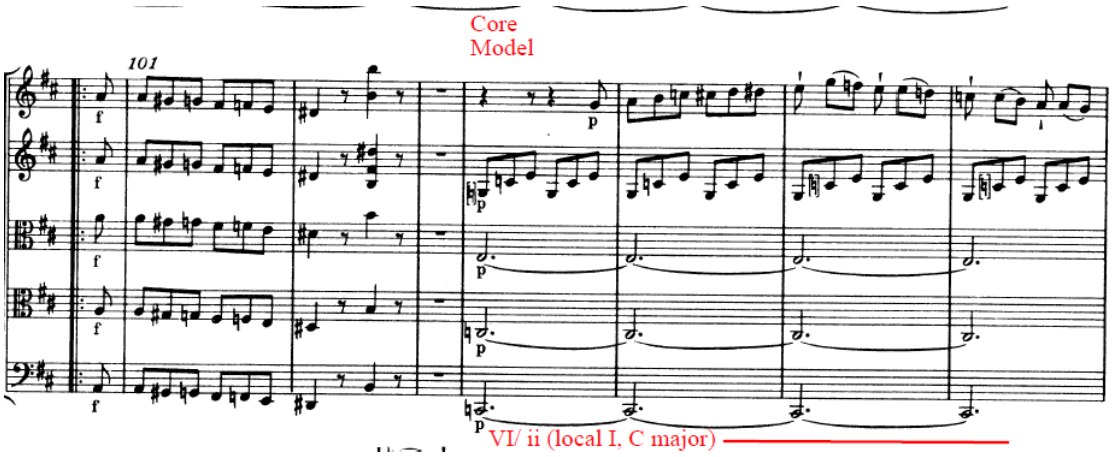
   G (m. 132) – A (m. 152) – D (m. 172)

2. The tonic-supertonic relationship in the piece has been discussed earlier. Another example of this relationship is the harmonic relationship between the model (m. 104) and the sequence (m. 115). The model is in C major and the sequence is in D minor. There is nothing extraordinary in the fact that the sequence is not a "real" sequence but a "harmonic" one (by "not real" I mean that it is not an exact transposition a step up of the model, but that the mode is different). It is also quite common that the sequence is one step above the model. Here, however, the sequence starts in D minor and ends in D major as $V_A$/G. Considering that the harmonic goal of the section is D major, and an exact sequence would also start in D major, the reason for going to the minor mode requires further examination. Since the harmonic plan is so strongly rooted in the movement and in the piece as a whole, the first core creates a strong reference to the P, creating a local organization of I-ii. Example 4.3a and b shows the core and the sequence.



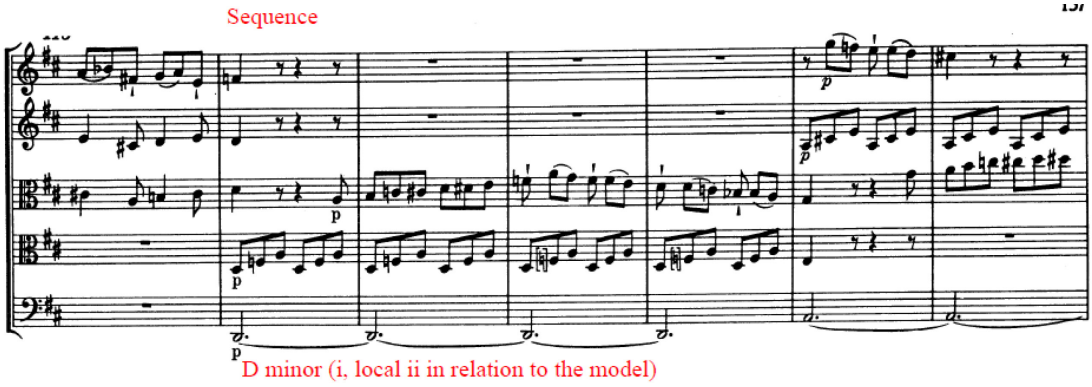

**Example 4.2 Mozart, Quintet in D, K.593, IV mm. 1–21**

The core:




**Example 4.3a Mozart, Quintet in D, K.593, IV mm. 101–107**

The Sequence:




**Example 4.3b Mozart, Quintet in D, K.593, IV, mm. 115–121**

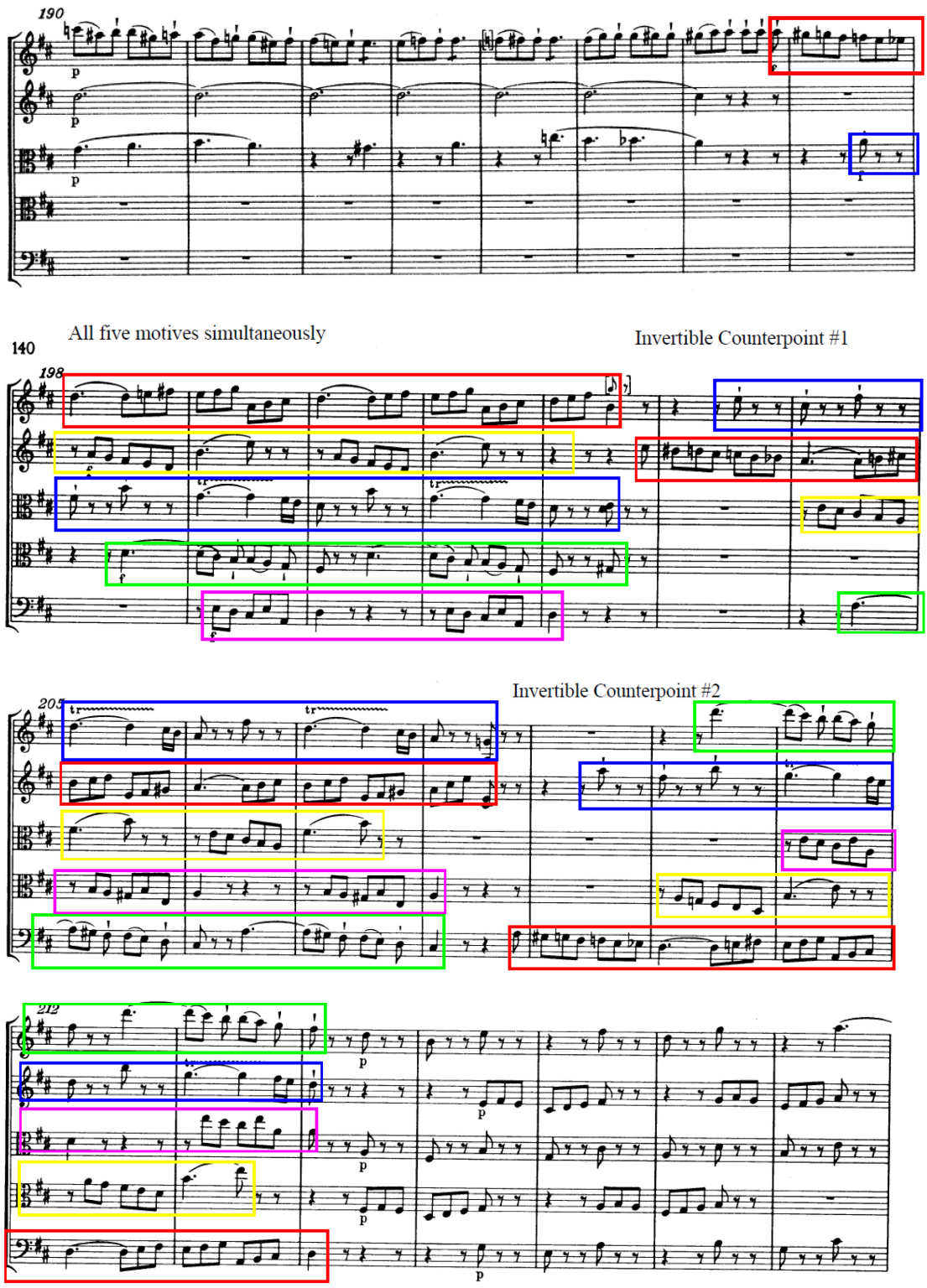
The texture scheme presented in the previous chapter may be somewhat challenged by the textural organization of this movement. Whether or not the retransition (mm. 142–152), with its stretto, is the textural peak of the movement as a whole is a difficult question, to be answered later in the chapter. In any case, it is certainly the climax of a highly contrapuntal development section, with a double core and a fugue. The fugue which, in terms of textural intensity, is a step up above the first core, may suggest that as far as function, the first core is actually an extended pre-core section and not yet the core section proper, regardless of its model-sequence structure. In the context of this movement, however, I would rather consider this whole development as a

"larger than life" section, with two core sections. The third option for functional analysis, according to which the fugue is an extended retransition, does not make much sense for two reasons: (1) fugues are more rhetorically related to model-sequence technique, associated with core sections, and (2) the beginning of the retransition is the textural peak of the development and that peak is yet to come. To summarize, I favor the functional view of a double-core over the other two options.

**Recapitulation**

The recapitulation commences with a shortened, liquidated version of the expositional P. This in itself is not unique for Mozart, and hence there is nothing particularly remarkable about omitting the repeat signs. The magic happens in the recapitulation of A' (P is structured as a small ternary form, remember), where the three principal themes—P, S, and the fugue theme—together with two additional themes are all played simultaneously (mm. 197–202). What follows immediately are two passages of five-part invertible counterpoint (mm. 203–208 and mm. 209–214).

Red = P; Blue = S; Green = fugue; Yellow = new material#1; Purple = new material#2




**Example 4.4 Mozart, Quintet in D, K.593, IV, mm. 190–218**

After this contrapuntal tour de force is over in m. 214, S goes back to follow its expositional version (the parallel measure is m. 69), maintaining a tonic version of S material up to m. 237. It is surely worth mentioning that the magnificent five-part counterpoint section in the recapitulation fills up the textural space which the original three-part writing of S has presented. In a way, this is a striking example of how a "structure of promise" in the exposition turns into a "structure of accomplishment" in the recapitulation (albeit in the realm of rhetorical force rather than tonal achievement).

In m. 237 the second astonishing moment of the recapitulation comes, when in lieu of the expected tonic C section, the model of the first core reappears in B-flat major. The first effect is of an evaded cadence. In m. 267 the tonic version of the original C section comes back and ends the piece. From a technical point of view, the B-flat section of the model (mm. 237-266) may be simply viewed as an interpolation. Since the movement is full of such surprises and deviations of sonata and rondo norms, the B-flat section may be regarded as just one more humorous moment in a sequence of such "tricks."

Returning to the question of textural hierarchy and organization, it is obvious that even the highly charged retransition is less active than the recapitulatory five-part counterpoint passage discussed above. In this respect, this movement is an exception, a deviation of the norm. I believe that Mozart was after a very special, specific effect, rarely seen even in his own pieces. It will be discussed at the end chapter in other respects.

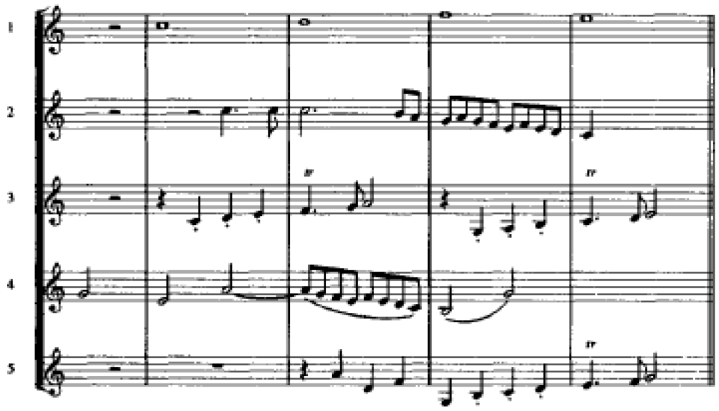


**Figure 4.2 Sisman's Five-Part Counterpoint in the Finale of the Jupiter Symphony**

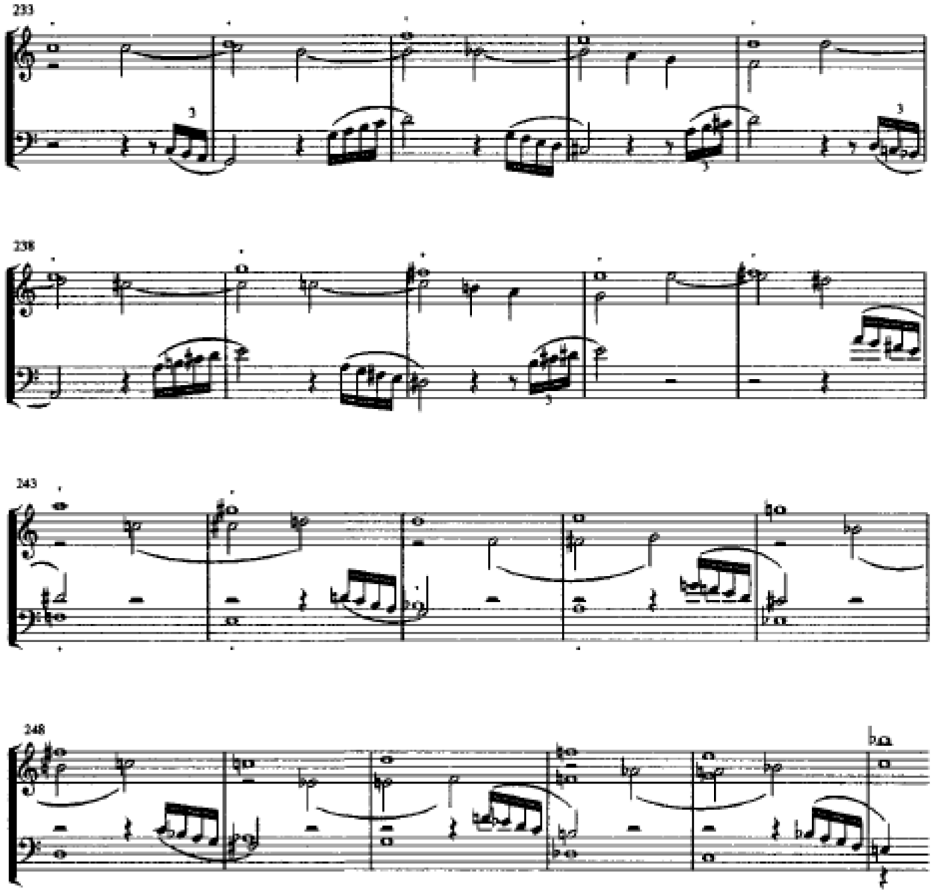


**Figure 4.3 Sisman's Reduction of the Dissonant Passage in the Finale, mm. 233–253**

The five-part invertible counterpoint in K.593 makes immediate reference to the finale of Mozart's Symphony in C major, K.551 (the so-called "Jupiter" Symphony). It is perhaps the only other instance in Mozart's oeuvre in which Mozart does this specific maneuver. In both "Jupiter" and K.593, this happens in the recapitulation of the last movement: in K.593 right after P and in "Jupiter" at the coda. Both pieces are dated from around the same time.[53] Both are in the major mode and both include imitative passages and "classical counterpoint" as Elaine Sisman puts it.[54]

Elaine Sisman's analytical approach to the contrapuntal peaks in the finale of the "Jupiter" is based on Immanuel Kant's concept of the "sublime." According to Kant, the "sublime" is an aesthetic counterpole of the "beautiful." There are two types of experiences of the sublime: (1) "the dynamical sublime" and (2) "the mathematical sublime".[55] Kant based the first type on Edmund Burke's concept of the "sublime of terror" as it is expressed in *A Philosophical Enquiry into the Origin of our Ideas of the Sublime and the Beautiful*" (1757). The feelings associated with this first type are those of chaos, darkness, and the relative images are storms and thunderbolts. One cannot experience the sublime of terror without a safe distance. As Burke says, "The mind is so entirely filled with its object, that it cannot entertain any other, nor by consequence reason on that object which employs it."[56]In addition, "the sublime, which is the cause of the former [admiration] dwells on great objects, and terrible."[57] Developing Burke's approach, Kant describes the experience of the "dynamical sublime" as facing "the might of nature"—something too great to be conceived by cognition—such as a range of mountains or a thunderbolt. According to Paul Guyer (as quoted in Sisman), the sublime "makes demands upon the imagination which imagination cannot fulfill, it presents objects which seem to exceed the

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[53] The symphony was completed in August 1788; the quintet was finished in December 1790.
[54] Sisman, Elaine, *Mozart, The "Jupiter" Symphony* (Cambridge: Cambridge University Press, 1993), 71.
[55] Ibid.,19.
[56] Edmund Burke, *A Philosophical Enquiry into the Origin of Our Ideas of the Sublime and Beautiful,* 2nd edn. (1759), ed. James T. Boulton (Notre Dame, Ind. and London, 1968; first published 1958). Quoted in Sisman, *Mozart, the Jupiter symphony,* 17.
[57] Idem.

organizing capacities of mind."[58]While the force of nature creates the dynamical sublime, magnitude or extent creates the mathematical sublime. To give one more example of the sublime, using computer science, the cognitive experience of the sublime can be understood as a "system overload." In this situation, the demands on a system to conduct multiple actions exceed its capacity to process, result in the breakdown, or collapse of the system.

Kant's theory of the sublime was presented in his third and last critique, published in 1790. The "Jupiter" Symphony was composed two years before that, so it makes it quite difficult to claim that Mozart was following any such concept. Nevertheless, it is possible that Mozart was well aware of Burke's ideas, but even if he was not, I find Sisman's interpretation of the "Jupiter" Symphony via Kant's concept very appropriate and interesting. The parallels which she finds between the concept of the mathematical sublime and the listening experience to the five-part counterpoint in the coda of the "Jupiter" make perfect sense: "But the mass of simultaneously writhing fragments, at all rhythmic levels and in all instruments, with the relentless background of the four whole-notes, cannot be taken in. It reveals vistas of contrapuntal infinity. The coda thus creates a cognitive exhaustion born of sheer magnitude. It makes vivid the mathematical sublime."[59]

The sublime is a suitable concept also to describe the contrapuntal tour de force in the finale of K.593 (mm. 197–214). The complexity of the texture and the structure of three successive passages of invertible counterpoint create the effect of infinity, of "too much to take in," and most certainly of "exceeding the organizing capacity of the mind." I will hazard that at first listening, and without a score in hand (or even with one), the vast majority of listeners, including the most educated ones, would not be able to conceive the whole score and/or the

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[58] Guyer, *Kant and the Claims of Taste* (Cambridge, MA, 1979), 500, quoted in Sisman, *Mozart, The "Jupiter" Symphony*, 19.
[59] Sisman, *Mozart, The "Jupiter" Symphony*, 79.
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compositional process of that passage; all listeners however, both *kenner* and *liebhaber*, would experience the overwhelming effect of the sublime.

Regarding the function and the placement of K.593's contrapuntal passage, still further connections with the "Jupiter' Symphony can be found, specifically with mm. 233-253 (shown above in Figure 4.3). The compositional technique—the five-part counterpoint—is obviously similar to the sublime passage of the Jupiter coda. However, the placement of the contrapuntal showpiece in K.593 (in the recapitulation, immediately after, or during P), and its stunning effect, is much more similar to the effect of the earlier passage of mm. 233–253 in Jupiter. In the latter, the technique to achieve the effect of sublime—by a succession of distant and dissonant modulations that distort completely the feeling of tonal center—is completely different than in K.593, but, to my ears, the effect is similar. In K.593 the effect of losing orientation is achieved by playing simultaneously themes from different sections of the piece (P, S and the developmental fugue, and two more new themes) so the listener cannot find order, or make sense, navigating in the river of the movement.

**A Finale's Finale**

The purpose of this chapter was to demonstrate more synthetically the concepts which were discussed in relative isolation during the previous chapters. To recapitulate: for sonata-allegro movements, the idea of "potential for development" was offered as a parameter for thematic choice. For sonata-rondos, it was suggested that the choice of $P^{rf}$ (the primary theme, which is also the refrain) for development was necessary simply because of its dominance. In other words, it seems that the only way of creating a sense of development in sonata-rondo is through deconstruction, or redesigning of $P^{rf}$. The finale of K.593 is clearly a sonata-allegro movement. However, it gives many nods to a sonata-rondo structure (e.g. the small-ternary organization of P, the return of P-based material in the codetta and the coda). The thematic choice

in this specific development section, which reflects the overall structure of the movement fits nicely both with sonata-allegro and sonata-rondo.

From point of view of harmony, the importance of the submediant and the half-step approach to the reactivated dominant are very evident in this movement. The textural progress of this movement does not line up with the suggested "textural curves" offered in the previous chapter. Even though the development is still a summit of textural activity and tension, the recapitulatory passage which had discussed above in relation to "Jupiter" surpasses the complexity of the developmental textures. It seems that Mozart did not cease developing, even after the recapitulation. The five-part invertible passage is only one example for this. The other example is the striking interpolation of the model theme from the development, supported by the radical lowered-VI pedal point (Bb) in the coda (m. 237). This dissertation centers on development sections, not complete movements. Nevertheless, since the developmental *process* goes far and beyond the development section proper, a discussion of the complete movement was simply necessary. Where Mozart leads, the alert musician surely follows.

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